

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 15 June 2021 by video conference.

Present: Ronnie Bowie (in the Chair);
Janice Aitken;
Alan Bainbridge;
Tricia Bey;
Richard Bint;
Dr William Boyd;
Lady Lynda Clark;
Professor Iain Gillespie (Principal & Vice-Chancellor);
Professor Lynn Kilbride;
Rebecca Leiper;
Bernadette Malone;
Jane Marshall;
Dr David Martin;
Ron Mobed;
Scott Quinn (DUSA President);
Marianne Reilly;
Professor Mairi Scott;
Jay Surti;
Sharon Sweeney;
Karen Thomson; and
Keith Winter.

In Attendance: Professor Anna Notaro (Member of the Court from 1 August 2021);
Karthik Subramanya (Member of the Court from 1 August 2021);
Dimitris Vidakis (DUSA President Elect, Member of the Court from 1 July 2021);
Wendy Alexander (Vice-Principal (International));
Professor Julian Blow (Interim Vice-Principal (Academic Planning & Performance));
Professor Blair Grubb (Vice-Principal (Education));
Roddy Isles (Head of Corporate Communication);
Dr Neale Laker (Director of Academic & Corporate Governance);
Dr Jim McGeorge (University Secretary & Chief Operating Officer);
Dr Christine Milburn (Senior Policy Officer (Corporate Governance));
Pam Milne (Director of Human Resources & Organisational Development);
Carol Prokopyszyn (Director of Finance);
Wesley Rennison (Director of Strategic Planning);
Professor John Rowan (Vice-Principal (Research, Knowledge Exchange & Wider Impact)); and
Thomas Veit (Director of External Relations).

Apologies: Lord Provost Ian Borthwick;
David Dorward; and
Gigi (Jia Hui) Gan.

69. INFORMAL PRE-COURT BRIEFING

Prior to the start of the meeting members attended a Pre-Court session led by the University's Race Equality Charter Lead, Professor Hari Hundal, focussed on the outputs of the Race Equality Charter (REC) survey and the formation of the associated REC submission. There was immense disappointment at some discriminatory comments that had surfaced during the survey, although the Court accepted fully the findings, recognising the task required to tackle racism on campus.

The Court strongly supported the position and direction of travel taken by the Principal in his recent communications on this matter. Members went on to express the importance of quickly putting in place a definitive action plan which would deliver urgent action where possible and would otherwise ensure that a longer-term structural plan was in place to address the findings. The Court also highlighted the importance of ensuring that the University took a similar approach across all protected characteristics.

Through breakout group discussions the Court reflected on its own leadership role in relation to Equality, Diversity & Inclusion as well as on its own diversity. It was agreed that all Court committees should, at their next meeting, review how their future schedule of business might contribute to tackling the issue.

In concluding the item the Court, for its part, undertook to contribute to addressing the issues raised through the setting of the new strategy; the review and setting of policies and procedures; oversight of the agreement of an action plan and targets; holding the University to account for delivery against these targets; and leading through its own behaviours and advocacy in internal and external environments.

The Court decided: to note the outcomes of the informal briefing and thank Professor Hundal for his input.

70. MINUTES

The Court decided: to approve the minutes of the Court meeting on 27 April 2021.

71. MATTERS ARISING**(1) Action Log**

The Court received the action log of Court business. The University Secretary confirmed that the Rectoral Election was expected to be held early in Semester One of the 2021/22 academic year.

The Court decided: to note the update.

(2) Senior Vice-Principal

The Principal informed the Court that interviews had concluded on 10 June 2021 and that an offer had been made to a preferred candidate by the Appointing Panel under authority delegated to it by the Court, and within the remuneration parameters approved by the Remuneration Committee. The Principal outlined the

expected timeline for confirmation of the appointment and members noted the intention that the individual would attend the Court at its Retreat on 2&3 September 2021.

The Court decided: to note the update.

72. **DEVELOPING OUR UNIVERSITY STRATEGY**

The Court received a paper which outlined progress in relation to the development of the next University Strategy and how future work on the strategy would be taken forward. The paper also provided a reminder of discussions at the meeting of Court on 27 April and at the additional strategic Court session on 24 May 2021.

In discussing the item, the Court focussed on the proposed approach to consultation with internal and external stakeholders, and in response to questions the Principal clarified the role of the Court in the development of a 'green paper' for consideration at the Court Retreat, its refinement to create a draft strategy for discussion at the November meeting of the Court, and the approval of the new strategy at the February meeting of the Court. The Court noted that the 'green paper' would be based around the themes of (i) scene setting - capturing our mission, values, overall priorities and the notion of a triple intensive university; (ii) Our strategic priorities in each of the three pillars of triple intensity (research, learning, engagement); (iii) Our partnerships, especially with the city and wider region; (iv) Our ambitions around social and environmental sustainability, including widening participation, EDI and opportunities for all; and (v) Our strategies for investing in our people. Members were supportive of the proposal that the strategy be underpinned by four sub-strategies: research, teaching, engagement and people – with the last building upon aspects previously outlined in the University Executive Group (UEG) priorities, including investment in talent and skills and enabling empowerment with accountability .

Turning to engagement plans, members noted the suggestion that 'drop-in' meetings be held over the summer to support members in building their understanding of relevant data prior to the Court Retreat and were supportive of the suggestion that these could be continued throughout the development process to ensure that the Court was afforded opportunity to provide input and shape the strategy. Members also noted that individuals, groups and committees would be invited to provide input into specific aspects of the strategy and sub-strategies.

The Court went on to discuss its expectations in relation to the development of Key Performance Indicators (KPIs) through which progress in relation to the new Strategy would be monitored. In this respect members reiterated their support for an approach be based on a small number of KPIs, with integrated benchmarking and a measurable action plan.

The Court was supportive of the suggestion that the process for the development of the new strategy be overseen by a Programme Board and agreed with the proposal that a lay member of the Court be invited to serve on this board.

The Court noted that the strategy would be developed in parallel to the review of the future academic footprint of the University. Members noted that the UEG would provide data to the Court retreat to support members in the development of their thinking in this respect.

- The Court decided:**
- (i) to approve the timetable and note the updates provided;
 - (ii) to endorse the suggested process for consultation with staff, students and external stakeholders; and
 - (iii) to ask that lay members of the Court indicate their interest in serving on the Strategy Development Programme Board via email to the Senior Policy Officer (Corporate Governance).

73. **ACADEMIC EXCELLENCE & SUSTAINABILITY: PROPOSAL FOR NEW COMBINED SCHOOL**

The Principal introduced a paper which set out the case for revision of the academic structure of the University, such that the Schools of Education & Social Work, Humanities and Social Sciences would be merged into a single New Combined School (NCS) from 1 August 2021, with the exception of Architecture & Urban Planning, which would move from the School of Social Sciences to the School of Art & Design (DJCAD). In doing so he drew attention to the approval of the proposals by the Senate and the value placed on the input received through the project's consultation/engagement process including the associated design sprints.

Turning to the development of a unifying academic vision, members noted ongoing work to review the outputs of the design sprints and to explore demand, opportunities, and viability in relation to the emerging interdisciplinary ambitions. Members noted that the narrative around this would be an important element of communications with staff and students.

The Court was supportive of the rationale and future vision presented for the formation of the NCS and of the issues raised by the Senate including the management of the transition to the new School format. Members also noted the synergy between the work to develop the new University Strategy and that associated with the future academic footprint with the work to develop the unifying academic vision for the NCS.

In response to questions, the Director of Finance confirmed that the existing budgets and savings targets for each of the three individual schools would be carried over into the budget for the new single combined school. Members highlighted the importance of ensuring a high calibre school executive team was identified, and that support was provided to the new school in terms of delivering the combined savings targets. In this regard the Principal told the Court that the University Executive Group and Deans' Group had held an extended meeting to explore budgetary challenges and identify areas requiring support.

The Court encouraged the University to remain aware of the impact of the process to date on staff and students, and to be proactive in building morale in the affected areas.

- The Court decided:**
- (i) noting the recommendation of the Senate (minute 85 below), to approve the establishment of a New Combined School consisting of all the disciplines currently contained within the Schools of Education & Social Work, Humanities and Social Sciences, with the exception of Architecture & Urban Planning;

- (ii) to note that the University anticipated the formal top-level establishment of the New Combined School to be in place for 1 August 2021, but that sub-structures and the professional services infrastructure would be developed and agreed over the course of the next academic year and completed by 31 July 2022 at the latest;
- (iii) to note that the name of the New Combined School would be determined by 1 August 2021 in consultation with its staff; and
- (iv) to approve the move of the discipline of Architecture & Urban Planning to the School of Art & Design (DJCAD) with effect from 1 August 2021; and

74. **RESERVED BUSINESS: BUDGET AND 5-YEAR PLAN**

The Director of Finance introduced the proposed budget for 2021/22 and the financial plan to 2025/26. The Court welcomed the detail provided in the proposed budget for 2021/22, the three-year projections for submission to the Scottish Funding Council (SFC), and the five-year projections which members noted continued to be developed by the University Executive Group (UEG).

Members noted that the budget reflected the financial plan previously approved by the Court, with a break-even position achieved by 2023/24, but that the shape of the financial recovery had changed to reflect the impact of the COVID-19 pandemic. The Director of Finance drew members' attention to detailed reporting of the cash profile, the scale of cost-savings required and the status of ongoing negotiations with the Bank of Scotland regarding renewal of the Revolving Credit Facility (RCF).

Through discussion the Court explored the challenging international growth projections in the context of risks relating to COVID-19 restrictions and international league table performance - and the associated mitigating actions taken in this regard. The Court was further reassured to note that the Finance & Policy Committee had undertaken a detailed review of the budget and five-year plan at its meeting on 25 May 2021 (see also minute 88(2)(below)) and had endorsed it to the Court for approval.

Turning to the savings detailed in the budget, members noted in particular the scale of staff cost reductions and noted that achievement of these would require both 'natural turn-over' and structural reorganisation, and that further discussion would take place at the Court Retreat.

The Court decided: to approve the proposed budget for 2021/22 and the indicative budgets for the following two years for submission to the SFC.

75. **CHAIR'S REPORT TO COURT**

The Court received a report from the Chair outlining activities he had undertaken on behalf of the Court and the University since its last meeting, including his meeting with the Deputy

Chair and the President of the Sports Union as reported in Minute 87 (below). The Chair highlighted themes emerging from the annual one-to-one meetings with members of Court, including the opportunity for the University to realise its significant potential as an institution by being bold and ambitious, and the view that institutional capacity in change management may need to be enhanced.

The Chair also gave thanks to members leaving the Court as noted in minute 90 (below).

The Court decided: to note the report.

76. UNIVERSITY EXECUTIVE GROUP REPORT TO COURT

The Principal & Vice-Chancellor introduced the University Executive Group (UEG) report (**appendix 1**) which provided an update on emerging sectoral issues, internal operational and strategic matters, and recent University news. In doing so he drew attention to the progress updates provided in relation to the three UEG priorities, and in particular those relating to the five existing projects within the Academic Excellence & Sustainability (AES) Programme. He also highlighted sections relating to the development of the University's Race Equality Charter/Athena Swan submissions, the Chinese Ministry of Education's approval of the proposal with Central South University (CSU) to establish a joint international institute 'the Dundee International Institute of Central South University' in China, and the recognition of University staff in the Queen's birthday honours list.

With regard to the Dundee International Institute of Central South University, the Principal highlighted the strong reputation of CSU, the prestige associated with the agreement, and future aspirations in terms of the collaboration.

With regard to league table announcements, the Principal set out areas where the University had improved and areas where enhancement was sought. The Vice-Principal (Education) also highlighted risks to future league table outcomes relating to the impact of COVID-19 on the student experience.

Turning to the AES programme update, one member raised concerns regarding aspects of the Biomedical project associated with the Ninewells Resource Unit. These were centred around: timings; reputational risks; consultation; research excellence and performance; and achievement of the benefits envisaged. Concerns relating to the Resource Unit itself were also highlighted by the member of the Court serving on the Welfare & Ethical Use of Animals Committee. The Vice-Principal (Research, Knowledge Exchange & Wider Impact) reminded members of the formal consultation process which had been completed in November 2020 prior to the decision being taken that the Medical School Resource Unit should close and be migrated to the City Campus. In response to the discussion, the Principal undertook to review the concerns raised with the Dean of the School of Medicine. He reiterated the University's commitment to consultation on all aspects of the project and proposed that the AES Oversight Board review the risk profile for the BioMedical project at its next meeting on 24 June 2021.

Finally, the Court noted that the UEG had recently decided to create a strategic programme board focused on economic development, chaired by the Principal. Members noted that the University sought a lay member of Court to join this new board to provide expertise and

guidance to the executive team, and the Chair of Court asked that individuals indicate their interest via email to the Senior Policy Officer (Corporate Governance).

- The Court decided:**
- (i) to note the update;
 - (ii) to note that the Principal and AES Programme Board would review the matters raised in relation to the Biomedical Project; and
 - (iii) to ask that lay members interested in serving on the new strategic programme board focused on economic development indicate their interest via email to the Senior Policy Officer (Corporate Governance).

77. **REPORT TO COURT FROM THE DUSA PRESIDENT**

The Court received the regular report from the President of the Dundee University Students' Association (DUSA) which summarised current and emerging student issues. He highlighted aspects of his report relating to the importance of being pro-active in the provision of support for students in the new academic year as pandemic restrictions eased.

The Court decided: to note the report.

78. **CONVENERS' REPORTS**

The Conveners introduced their reports, highlighting matters of interest. Approvals are formally noted against the relevant Committee Report (minute 87 below).

The Convener of the Audit & Risk Committee provided an overview of the Committee's meeting on 20 May 2021. The Committee had highlighted the anticipated extended timeline provided by the external auditors for the completion of the 2020/21 external audit, its preliminary discussion of proposals relating to the refresh of the University's approach to Risk Appetite, and the recommendations from the four-year review of effectiveness of the Committee.

The Convener of the Finance & Policy Committee drew members' attention to the Committee's discussion of Key Performance Indicator (KPI) benchmarking data, and in particular measures relating to cash flow, surplus/deficit, and staff costs. In summarising the discussions, the Convener told the Court that all of these measures supported the analysis that the University remained around £10m per annum behind its competitors. The Convener also highlighted discussions relating to the 'Zero Carbon' agenda and drew attention to the update provided in relation to the renewal of the Revolving Credit Facility (RCF) with the Bank of Scotland. With regard to the latter, noting the anticipated timeframe for the conclusion of negotiations, the Court approved the recommendation that authority be delegated to the Chair of Court and the Convener of the Finance & Policy Committee to approve final terms for the extension/renewal (see minute 87 below) on the recommendation of the UEG.

The Convener of the Governance & Nominations Committee drew members' attention to proposals for Court committee memberships for 2021/22 and the suggested arrangements for the 2021 annual review of the effectiveness of the Court/the Chair of Court.

The Convener of the People & Organisational Development Committee highlighted improvements made by the Committee during the 2020/21 academic year in relation to its focus and approach to business planning. She also drew members' attention to the increasing focus of the Committee on the impact of pay and pensions issues on staff. Finally, she invited the Court to formally approve the new probation procedure for non-academic staff (see minute 87(4) below).

The Convener of the Remuneration Committee drew members' attention to the Committee's decision to maintain its existing position regarding the life-time pension tax allowance. The Court noted that the meeting had been the last for the Convener before the end of her term of office, and the Convener outlined improvements in the approach, procedures and operation of the Committee in that time.

The Court decided: to note the report.

79. **UNIVERSITY STRATEGY TO 2022: REVIEW OF KPI PERFORMANCE**

The Court received the annual report of performance relative to the Key Performance Indicators (KPIs) of the University Strategy to 2022. Discussions focussed on the recommendation from the internal auditors that a smaller set of interim KPIs be developed to ensure continued and effective reporting during the development of the new University Strategy and associated KPIs. The Court stressed the importance of avoiding a gap in reporting while the new Strategy and KPIs were developed, but encouraged officers to keep reporting simple and focused during this period. Looking to the future members expressed a preference for benchmarking to be incorporated into the approach and suggested that there would be value in reviewing what had been learned from the previous reporting period.

The Court decided: to note the report.

80. **COURT RETREAT**

The Court considered a paper which set out proposed arrangements for the Court Retreat on 2 & 3 September 2021 including the consideration of topics, desired deliverables, and venues. Members were supportive of the proposal that the sessions focus on the University Strategy; Risk Appetite; performance, opportunities/costs, and exploration of the People Strategy.

In terms of arrangements for the event itself, The Court noted risks relating to the changeable nature of the COVID-19 pandemic restrictions and the associated range of scenarios. Members were of the view that, if permitted, a face-to-face event would be preferable. Officers undertook to continue to develop a range of options.

The Court decided: to endorse proposals and await further details in due course.

81. **MEMBERSHIP OF THE COURT**(1) Nomination of a Union Nominated Member of Court

The Court decided: To formally note the re-nomination of Sharon Sweeney to the Court for a further Period of 4 years from 1 August 2021.

(2) Lady Lynda Clark

The Court decided: To formally note the resignation of Lady Lynda Clark due to changes to personal circumstances, effective at 31 July 2021.

(3) Dr Anna Notaro

The Court decided: To formally note the election of Dr Notaro to the Court by the Senate, effective from 1 August 2021 for a period of four years in the first instance.

82. **REPORT FROM THE CONVENER OF THE SENATUS ACADEMICUS**

The Court received a report from the Chair of the Senatus Academicus and noted in particular the Senate's discussion of, and support for, the proposal to create a New Combined School (NCS) (see also minute 73 above) and its discussion on the topic of consultation on adopting the IHRA definition of antisemitism.

The Court decided: to note the report

83. **FORMATION OF AN EMERGENCY COMMITTEE – SUMMER**

The Court decided: in accordance with accepted precedent, to remit the transaction of any urgent Court business over the summer to an Emergency Committee, comprising the Principal or a Vice-Principal (Convener), two lay members (normally the Chairperson of Court and the Convener of the Finance & Policy Committee), one other staff member, and a student member where available; noting that the precise composition would be subject to availability. A report on any action taken would be shared with the Court as soon as possible, and a formal report submitted to the first business meeting of 2021/22.

84. **NARRATIVE FOR SENATE**

The Chair of Court undertook to highlight to the Senate: discussions relating to the pre-Court session on the Race Equality Charter survey outputs; the Court's support for the proposed approach and timeline for the development of the new University Strategy; the Court's approval of proposals relating to the New Combined School; and expectations regarding the development of, and reporting against, Key Performance Indicators during the development of the new University Strategy.

The Court decided: to note the areas for inclusion in the report to the Senate.

85. REPORT FROM MEETING OF THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senatus Academicus on 26 May 2021 (**appendix 2**) and noted the areas highlighted to the Court in minute 77 (above).

- The Court decided:**
- (i) to note the approval of the Senate, for its part, for the establishment of a New Combined School from the schools of Education & Social Work, Humanities and Social Sciences (see minute 73, above for approvals);
 - (ii) note the approval of the Senate, for its part, for the discipline of Architecture & Urban Planning to move from the School of Social Sciences to Duncan of Jordanstone College of Art & Design (see minute 73, above for approvals);
 - (iii) to approve the recommendation from the Senate in relation to (i) and (ii) above, that the Court exercise its powers to alter the organisation of academic disciplines in the University under Statute 9 6(m) accordingly (see also minute 73, above for approvals);
 - (iv) to note the approval of the Senate of the Curriculum Design Principals (part of the Academic Excellence & Structure 'Teaching Excellence' project);
 - (v) to approve the recommendation that the title of Professor Emeritus be conferred on Professors Alan Fairlamb, Peter Davey, John Peters, and Colin Henderson; and
 - (vi) to note that the Senate had approved consultation on 'Academic Year 2022 and Beyond' and on the 'IHRA Definition of antisemitism'.

86. DUSA ANNUAL REPORT

The Court received a report from the Dundee University Students' Association (DUSA) which highlighted progress relative to the 2020/21 executive manifesto and provided an overview of the activities and achievements of the DUSA Executive and its members.

The Court decided: to thank the DUSA President for his report.

87. SPORTS UNION ANNUAL REPORT

The Court received a report from the Sports Union President. Members noted that the Chair and Deputy Chair of Court had met with the President to explore the themes detailed in the report. The Court was delighted to note the progress made by the Sports' Union in relation to the collegiality of the clubs, its focus on and contribution to improving mental health, its

engagement with the local community, and the greater prominence of recreational sport as well as competition within the work of the clubs.

The Chair informed the Court that he had undertaken to meet with the new Sports Union President at the beginning of his term of office, and in doing so to raise the awareness of the Court in relation to matters of importance to the Sports Union.

The Court decided: to thank the Sports Union President for his report.

88. COMMITTEE REPORTS

(1) Audit & Risk Committee Minutes

(i) Minute of the meeting on 20 May 2021

The Court received the minutes of the meeting of the Committee on 20 May 2021 (**appendix 3**). Matters for discussion with the Court are highlighted in minute 77 (above).

The Court decided:

- (i) to note the COVID-19 Risk Register;
- (ii) to note the completion of the four-yearly review of the effectiveness of the Committee and endorse the recommendations as set out; and
- (iii) otherwise, to approve the report.

(ii) Reserved Business: Minute 13 of the meeting on 20 May 2021

The Court received Minute 13 of the meeting of the Committee on 20 May 2021.

The University asserts that the minute is exempt from public disclosure and claims exemptions in S.30(b)(i) of the Freedom of Information (Scotland) Act 2002. It shall be published as an appendix to the minute of the meeting at which its approval for release is granted.

The Court decided: to approve the report.

(2) Finance & Policy Committee Minutes

(i) Reserved Business: Minutes from the additional Meeting on 5 April 2021

The Court received Minutes from the additional meeting on 5 April 2021 (**appendix 4**).

At the time of the meeting the University claimed exemptions s33 (1) (b) of the Freedom of Information (Scotland) Act 2002. The University Secretary subsequently confirmed on 17/9/21 that these exemptions no longer apply.

The Court decided: to approve the report.

(ii) Minutes from the meeting on 25 May 2021

The Court received the minutes of the meeting of the Committee on 25 May 2021 (**appendix 5**). The Court's discussion of matters raised by the Committee is detailed in the Conveners' Report (Minute 77).

- The Court decided:**
- (i) to note the Committee's endorsement of the budget and five-year plan (see minute 74 above);
 - (ii) to delegate authority to the Convener of the Finance & Policy Committee and the Chair of Court to approve final terms for the extension/renewal of the revolving credit facility with the Bank of Scotland within the following parameters: a term of up to 5 years, a total loan value of up to £40m, HE market standard covenants, and interest payable on drawdowns of SONIA (Sterling Overnight Index Average) plus 1.5%; and
 - (iii) otherwise, to approve the report.

(3) Governance & Nominations Committee

The Court received the minutes of the Committee's meeting on 25 May 2021 (**appendix 6**). The Court's discussion of matters raised by the Committee is detailed in the Conveners' Report (Minute 77).

- The Court decided:**
- (i) to approve the proposed membership of Court Committees for 2021/22, and to delegate authority to the Chair of Court and University Secretary to make any amendments required arising from appointments/elections to the Court over the summer;
 - (ii) to approve arrangements for the annual reviews of the effectiveness of the Court and of the Chair of Court; and
 - (iii) otherwise, to approve the minutes.

(4) People & Organisational Development Committee

The Court received the minutes of the Committee's meeting on 19 May 2021 (**appendix 7**). The Court's discussion of matters raised by the Committee are detailed in the Conveners' Report (Minute 77).

- The Court decided:**
- (i) to approve the probation procedure for non-academic staff (**appendix 7 annex 1**); and
 - (ii) otherwise, to approve the minutes.

(5) Remuneration Committee

The Court received the minutes of the Committee's meeting on 20 May 2021 (**appendix 8**). The Court's discussion of matters raised by the Committee are detailed in the Conveners' Report (Minute 77).

The Court decided:

- (i) to note the Committee's decision to maintain its existing position on the lifetime pension tax allowance; and
- (ii) otherwise to approve the minutes.

89. **STAFF COUNCIL MINUTES**

The Court received the minutes from the Staff Council's 'Principal's Question Time' on 4 May 2021, where discussions had focussed on the Academic Excellence & Sustainability programme, concerns regarding pensions matters, and planning for the future.

The Court decided: to note the minutes.

90. **THANKS AND DEPARTURES**

The Chair of Court gave thanks on behalf of the Court and of the University to members who would leave the membership of the Court at the end of the academic year as follows: Janice Aitken, Dr William Boyd, Bernadette Malone, Lynda Clark, Professor Lynn Kilbride, Scott Quinn and Jia Hui (Gigi) Gan. In doing so he highlighted the unique contributions made by each member to the Court, the University, and to his own personal understanding of the issues at hand. He also gave personal thanks to Bernadette Malone for her support over the years in her role as Deputy Chair.

The Court decided: to thank the members leaving the Court and wish them well in their future endeavours.

Mr Ronald Bowie
Chair of Court
University of Dundee

APPENDIX 1

UNIVERSITY EXECUTIVE GROUP REPORT TO COURT (Minute 76)

1. INTRODUCTION

1. Since the last update to the Court the University Executive Group (UEG) have been coordinating a series of strategic conversations relating to many of the matters discussed below and are beginning to build traction on key projects that will shape our institution over the coming years, particularly the development of the new University Strategy. We hope that this update will provide members with appropriate oversight and confidence that the University is moving in the right direction.
2. A key element in driving necessary change will be the appointment to the role of Senior Vice-Principal, for which interviews are scheduled on 10 June. From the quality of the applications received we are confident that the chosen candidate will bear the right skills and expertise to help us to manage and oversee the significant programme of change over the coming period. We are also progressing with the appointment of the Assistant Vice-Principal posts outlined in our previous update to Court.

2. STRATEGY DEVELOPMENT

3. We continue to press ahead with the development of the new University Strategy, with an update provided in paper C of the agenda.
4. Members will recall that the Court recommended that the new strategy be built on the foundation of 'triple intensity' – something which was seen as part of the University's DNA, though a largely unexpressed part. We continue to develop the concept of triple intensity, as we seek to define what it means to us as an institution.
5. The Court also placed great importance of the 'social contract' between the University and the City region. This was understood as being enconced in a sense of a social responsibility to build meaningful relationships with partners in order to achieve impact and truly enact change. We intend to reflect this through the 'engagement' element of triple intensity. Whilst the need to build on our engagement locally was recognised as important, the Court was also keen to raise the University's profile and more visibly demonstrate our strengths on a global scale. If we seek to continue to be a world leading institution this international excellence – and recognition as being such – will remain essential. The new Strategy must help provide us with a platform to showcase our excellence and impact.
6. Court members wanted to see UEG and the University be bold, brave, authentic and collaborative in the development of our Strategy. UEG look forward to engaging with the Court over the coming months to develop a strategy that will enable us to prosper.

3. UEG PRIORITIES

7. Court will recall that the last Court Briefing session focused on the refresh of UEG strategic priorities. Delivery against these renewed priorities as an institution will be critical to ensuring our future success. We continue to make steady progress across each of the three priorities, and members will find below the first of our regular updates to Court.

3.1 Academic Excellence and Sustainability

8. Academic Excellence and Sustainability as a priority– which covers not only the current projects within the AES programme, but also a wider package of activity required in the pursuit of excellence– is taking shape across several core elements. In particular, Court may wish to note progress within projects relating to the creation of a 'New Combined School', 'Teaching Efficiency', and thinking related to the development of a people and talent strategy that will support the University in achieving its full potential. At the April meeting we undertook to provide a regularly updated Gantt chart for the five projects within the AES programme being overseen by the AES Oversight Board, as well as a more detailed report into the Research Excellence project. Both of these are available in Appendix 5, alongside a high-level overview of each of the five projects. This high-level overview will be the routine form in which we propose to report progress going forward as part of this UEG report to Court.
8. Members will find elsewhere on the agenda proposals for the creation of a New Combined School (NCS). The proposal was informed by valuable feedback from the consultation process, and in particular the design sprints through which

staff expressed an appetite for increased interdisciplinary collaboration that will allow us to build critical mass in research, improve teaching efficiency and learner pathways as well ensure the development of market-led programmes. The proposal was recently considered at the meeting of Senate on 26 May, and the Court is invited to discuss the recommendation from the Senate that the proposal be approved under item 4 on the agenda.

9. We are confident that the creation of a New Combined School will contribute to the advancement of our wider goals of achieving financial sustainability and institutional excellence. We hope members of the Court will share this view as we move along this journey to truly transforming our academic ethos that will allow us to thrive as an institution.
10. In line with our pursuit of excellence, we recognise the vital importance of enabling our people to flourish in order to build a strong community that is both confident and capable. It is important that we equip our staff with the training, tools and support they require to support our transition to a culture that manifests empowerment with accountability. The Director of Human Resources & OD will be collaborating with others, including the People & Organisational Development Committee over the summer to develop the foundations of a *talent strategy* that will grow, support and retain talent within our institution and ultimately support us in achieving our institutional mission.

3.2 Growing Recruitment (International Focus)

11. This priority focuses on growing recruitment, and in particular, international fee income through activities such as strategic investments, improving our portfolio attractiveness and improving our overall excellence in teaching and research. Members will find in Annex 2 a comprehensive update on student recruitment matters; however, it is worth noting that the impact of the pandemic continues to be felt across the globe influencing restrictions on student mobility and attractiveness of overseas institutions. This has resulted in a level of uncertainty across the sphere of recruitment, and we are witnessing differential regional responses to the pandemic and prospective students' willingness to travel. Within this priority, we have maintained our ambitious recruitment target of doubling international fee income over the 5-year budget horizon and are implementing mitigating actions such as clear communication with prospective students and quarantine plans (when government guidance allows) to ensure we reach it.
12. In relation to the breadth of recruitment, both international and domestic, as part of the AES project we have commissioned market analysis to support us in identifying where our portfolio could be strengthened and better aligned with market demand to build a portfolio that will attract students both locally and across the globe. This will be a key step for the University and will undoubtedly require a culture shift and the support and engagement from our academic community.
13. We are pleased to confirm that formal notification from the Chinese Ministry of Education has been given to Central South University (CSU) that our application to establish a joint international institute with CSU in China, the *Dundee International Institute of Central South University*, has been approved. Members will recall from previous discussions the size, scale and reputational importance of the collaboration. This Joint Institute approval will make the University of Dundee the only UK university with Joint Education Partnerships/Joint Education Institutes with three different China double first institutions (top 42 designated research-intensive universities in China), and as such holds great significance in our plan to improve the reputation of the University abroad. Within five years we will have 2000 students in China pursuing University of Dundee degrees. We have recently appointed a lead for our new China Support Hub who will support all our students in China to benefit from excellence in student support, technology and English language instruction.

3.3. Digitally Enabled Campus

14. As we transition to an ever more digitised world, the Digital Strategy Working Group continues to progress the development of a University digital strategy that will form the foundations of our digital journey and move us to the development of truly 'digitally enabled' campuses.
15. We have identified three priority areas to direct our focus toward over the coming months: i) improve our teaching and learning experience for students and staff – no matter where they are, ii) make our systems and services easier, more efficient to use and linked to the strategy and iii) make our services more secure and resilient. With the foundations of a draft strategy formed, the Digital Strategy Working Group will next explore with the UEG risks, underpinning assumptions, business capability models and investment targets before the draft is prepared for wider consultation with Deans, Directors, Senate and Court, around the digital vision for the University. A communications plan is also being developed to support the socialization of the strategy amongst the staff community.

4. INTERNAL MATTERS

4.1 Equality, Diversity and Inclusion

16. Advancing the goals of the equality and diversity agenda remains a critical part of our institutional mission. Professor Hari Hundal, lead of the Race Equality Charter joined us at our most recent joint UEG/Deans' Group meeting to present the final report of the University's Race Survey. Findings were found to be deeply challenging as we learned that problems of racial harassment and abuse exist across much of our society and within our own University community. We affirm that this will not be tolerated and recognise the work we must do to ensure our community feel safe and enact our values of mutual respect. We believe we have not only a responsibility as a higher education institution, where learning and equal opportunity is core to our existence to resolve this issue but personal responsibility to lead on this agenda to transform lives and celebrate diversity.
17. The [survey findings](#) were published to the wider University community on Monday 7 June. We hope that this will be the beginning of a conversation of how talk about race within our own institution and society. The Court Briefing will focus on the topic of Equality, Diversity and Inclusion, led by Professor Hundal and our Director of HR & OD, Pam Milne, and through it we will explore together how we can truly address these issues and enact meaningful change.
18. We are pleased to confirm that Professor Tim Kelly and Professor Inke Nathke have been officially appointed as joint Athena Swan sponsors for the University's submission. We trust that their passion coupled with their expertise in this area with help to shape a robust and successful submission for the University. We will update Court in due course regarding agreed timelines for our Athena Swan submission in light of the recently agreed extension granted until April 2022.

4.2 Budget

19. We continue to maintain sharp focus on the coordination of our finances in a manner that will contribute towards our longer-term goal of financial sustainability. Members will find elsewhere on the agenda a paper (paper E) detailing the proposed budget over the course of the next five-years. Whilst we expect to better the 2020/21 budget forecast, through a combination of additional government funding, successful recruitment and tight cost control, it is clear that the road ahead will be challenging. External influences, such as the global economy and student mobility remain uncertain, and recovery is likely to be a long process requiring a concerted and strategic approach. UEG are exploring the tools available to us to deliver on budget and will return to Court in September regarding the outcome of these discussions.
20. It is important to consider the longer-term picture and, in this regard, the UEG have been exploring potential areas for investment that will support us in reaching a more sustainable position. We would highlight the transitional nature of the budget, as the University continues the development of the new strategy, and members will note that years 3-5 in particular, will be influenced by the work to clarify the University's strategic direction. We must not lose momentum on delivery against our agreed financial targets if we are to reach a sustainable position and create headroom to deliver against the new University Strategy.

4.3 Pay

21. The UCEA national pay negotiations have continued over the previous months. At the third and final meeting UCEA made an offer which guarantees increases of at least 1.5% to the pay spine. The Director of HR & OD is engaged regularly with the campus unions on the matter. We have considered and planned for the risk that an agreement is not reached nationally and remain cognizant of industrial relations risks if this were to be the case.

4.4 Pensions

22. Members will be aware that we recently made the decision to extend the period of consultation in relation to changes to UoDSS benefits, with a revised end date of 14 November 2021. We intend to present proposals to members at the February meeting of the Court for final decision. We continue to communicate with staff and unions regarding the unaffordability of the scheme in its current form and the need to reach an agreement that offers a dignified retirement package for our employees whilst also resolving the financial burden of the scheme.
23. In relation to USS, it is worth noting that UUK employer consultation has ended. Our response was characterized by our consistent message that we must find a solution that is affordable to both members and institutions and provides a secure retirement option for staff. Members will have noted the joint statement with DUCU regarding USS and we welcomed their support in upholding our position. We remain committed to continuing open discussion with members on these issues and will update Court in due course.

24. We understand staff anxieties around this matter and are doing all that we can to ensure staff remain well informed and well advised in relation to developments. We remain cognizant of the increased risk of industrial action. It is likely that reaching a satisfactory conclusion on all pension matters will be an onerous process and we must meet this challenge together.

4.5 League Table Performance

25. Members can expect a comprehensive analysis regarding league table performance in the annual September Court update, however, it is worth noting some recent developments:
- In April 2021, the University of Dundee placed 114th in the 2021 edition of the [Times Higher Education University Impact Rankings](#). We are disappointed by our drop in position since last year (ranked 44th) and the League Table Working Group are developing a plan to address changes in methodology and increased competition in this survey.
 - The complete University Guide results were published on 8 June and revealed we have risen from 31 to 30 in the UK and from 6th to 5th in Scotland. Disappointingly our 'student satisfaction' score, which is an average of the NSS questions, has fallen from a ranking of 9th in the UK to 27th. This uses the 2020 NSS results and we hope for better results in the 2021 NSS survey which will be published on 15 July, though student feedback will be impacted by the pandemic. The University is currently analysing the data and will publish a full report by metric/subject area in due course. This is nevertheless a good outcome particularly in the current climate with some welcome improvements in individual subject rankings (notably in the School of Business).
 - The QS World Rankings were also released on 8 June. We fell again slightly this year from 319 to 322. This was disappointing as it follows on several years of decline in the ranking and other Scottish institutions improved this year. The Vice Principal (Education) chairs a League Tables Working Group that is taking action to help improve our rankings across the various tables. We saw increases in our Employer Reputation, Citations and Proportion of International Staff. However, we saw falls in our Academic Reputation (slightly), our Student Staff Ratios and Proportion of International Students.

4.6 Engagements and Impact

26. The Principal continues his programme of meetings with external stakeholders such as elected officials, local MSP's (including briefing them, the Minister for the Scottish Office, Ian Stewart, and the incoming Scottish Government Minister for Higher Education and Further Education, Youth Employment and Training, Jamie Hepburn, on key issues), MPs, NHS Tayside and Dundee & Angus College and most recently, visited the newly opened St Andrews University 'Eden Campus' along with other UEG members to offer congratulations and learn more about opportunities for stronger collaboration on environmental sustainability. This is just one example of how we are looking to strengthen our connections with other institutions around projects that are key to supporting economic activity, social impact and knowledge transfer.
27. In other news, the University recently announced that the Eden Project has signed a memorandum of understanding with the owners of its preferred site for [Eden Project Dundee](#) and released the first image of how it might look. The University has been a key player in the journey that has brought the project to fruition. The agreement between Eden and the site owners, National Grid and SGN, commences a period in which the partners will explore the practicalities of converting the former Dundee Gasworks on East Dock Street into the Eden Project's home in Scotland. Eden predicts that the project will create 200 jobs (with an additional 300 indirectly created) and contribute £27m per year to the regional economy. It also offers the opportunity for us to stimulate action, showcase excellence in regard to our own environmental and climate ambitions and promote our desirability as an institution.
28. In relation to advancing the sustainability agenda, the Principal was recently appointed as the Chair of the newly established Climate Leadership Group, which brings together public and private partners and environmental groups across the city to bolster local efforts to tackle climate change and help achieve net-zero greenhouse gas emissions for Dundee in the next 25 years. Whilst contributing to these wider efforts we also need to ensure we are doing all we can within our own estate and community and with this in mind we have established a new group within the University to focus on environmental and social sustainability and look forward to updating the Court in due course on future initiatives.

Planning and Strategy Boards

29. The UEG have been giving substantial consideration to how we better focus our efforts and tension our resources to meet our strategic needs. In particular, we have been considering how we ensure effective capital planning, covering the full range of issues from estates through to research and digital infrastructure, as well as how we focus our external engagement efforts more effectively on enabling regional economic growth and thus our own strategic goals.

30. With regards to the latter, the UEG recently decided to create a strategic oversight board focused on economic development which the Principal will chair. We will report further on this new development in due course, but in the meantime, we would like to identify a lay member of Court to consider joining this new board to provide expertise and guidance to the executive team, in an analogous way to how Tricia Bey has added richness to the AES Board. On capital planning we are also establishing a new management group, but we regard that as a more operational matter.

5. EXTERNAL MATTERS

5.1 Covid and Contingencies

31. Whilst restrictions appear to be easing, the University remains agile in its planning and will be prepared for a move to Level 1, or Level 3, should the situation with new variants escalate. The University continues to await Scottish Government guidance for the operating conditions for 2021/22 academic year and a lack of decision-making by government has impeded our planning. However, as outlined in our previous report in April, we are planning for a blended approach to teaching in Semester 1 supported by asynchronous/synchronous teaching that will add a layer of resilience to our education provision and ensure we can provide a high-quality learning experience for our students.
32. Staff and students can take a test twice a week at our asymptomatic lateral flow test centre on the City Campus remains or at our new test site at the Ninewells Campus for staff and students based there. We also continue to monitor our COVID-19 self-reporting system, with a very small number of cases being reported over the previous months.

6.1 Political Environment

6.1a Scottish Election

33. Following Scottish Elections on 6 May 2021 the Scottish National Party will form a fourth consecutive administration under First Minister Nicola Sturgeon. The nature of manifestos and priorities for Government is to set a positive and hopeful tone, with areas of focus including recovery from the pandemic, the National Health Service, children and schools, care, young adults and further education/higher education, the economy and commitment to a greener Scotland. The relative silence in the 'Priorities for Government for HE' reflects that the Government is awaiting the outcomes of the SFC Review of Tertiary Education before making any policy announcements relating to the sector. The outcome of the review is due to be released shortly and will set the tone for both the sector and University going forward We will update Court in due course with an analysis of what this means for us an institution.
34. As we await the SFC Review, we continue to actively highlight our contribution to economic recovery in our city, region and Scotland; our aim to shape the international education strategy for Scottish HE; and our readiness contribute to a greener Scotland. Other, wider, policy announcements that may impact on the University include the review of rented accommodation (including student residences), the response to the Organisation for Economic Co-operation and Development (OECD) report on the Curriculum for Excellence, investment in digital and the outcomes of the Logan Review, and plans for investment in the economic recovery and green economy. These will provide both opportunities, and challenges and we will update the Court and its committees as appropriate in due course.

6.2a Queen's Speech

35. During the Queen's Speech on the 11 May 2021, Her Majesty announced the intent to pass the Higher Education (Freedom of Speech) Bill that seeks to strengthen the legal duties on higher education providers in England to protect freedom of speech on campuses up and down the country, for students, academics and visiting speakers. The Higher Education (Freedom of Speech) Bill will bring in new measures that will require universities and colleges registered with the Office for Students to defend free speech. Whilst the Bill only affects institutions south of the border, we understand this is a complex issue and we will maintain a watching brief of any developments that may influence policy in Scotland.

7. CLOSING REMARKS

7.1 Graduation Ceremony

36. It is usual for the June update to remind members of our upcoming summer graduation. It is

with regret that under the current restrictions in relation to the pandemic, that an in-person event will once again not be feasible. Instead, in a similar fashion to last year, we will be hosting a programme of online events to celebrate the outstanding achievements of our student community. We will provide information to members in due course of how to join the event, and hope that many of you will be able to share the celebration. Our students have displayed remarkable resilience over the past year, and we look forward to celebrating with them and their families.

7.2 Principal's Endnote

37. As this academic year draws to a close we invite Court to take heart in the way that staff and students have dealt with the incredible challenges of the past year. The dedication to our institution that has been shown is truly remarkable and the successes we have seen in, for example, rankings given the past year as well as the broader perturbations we have experienced over the past three years testament to many strong fundamentals in our institution. Over the past few months, UEG has worked together to create positive ways forward for our University in a way that is honest about our opportunities as well as our challenges. The proposal to create a New Combined School and our frankness over our Race Equalities Survey Outcomes, we believe, reflect that honesty. This, together with an empowering new Strategy and strong grip on delivery, should position us well for Academic Year 2021/22, even though there continue to be difficulties ahead.

**University Executive Group
June 2021**

Annex 1. Academic Excellence and Sustainability Programme Update

- Members will find below a RAG rated update of the Academic Excellence and Sustainability programme, pertaining to the five original constituent projects. Teaching Excellence, Research Excellence, Staff Excellence, Biomedical and New Combined School. The table gives a sense of progress to timelines and reminds Court of the expected deliverables; it also provides an overarching RAG rating for each project. Fuller reports for each project were considered by the Oversight Board at its second meeting on 24 May 2021.
- A detailed report of progress within Research Efficiency, as indicated to the Court at its April meeting, can be found below.

Project: Teaching Excellence

Lead: Blair Grubb

Duration: 20/11/2020 – 30/01/2023

Project Deliverables: £2.5 (collectively with Research Excellence)

RAG Status	Update	Commentary
	<p>Modules: Phase 1 and 2 of module reviews are now complete and savings (£1.4m) built into the budget, as reported last period.</p> <p>Curriculum Design Principles: The final Curriculum Design Principles Document was approved by Senate on 26 May alongside associated Programme Approval Guidance.</p> <p>Programme Portfolio Review: Work to begin this element of the project underway. Will be informed by market analysis and NCS.</p>	<p>Good progress has been made in developing design principles that will set expectations and requirements for the design of successful and efficient curricula.</p> <p>Programme portfolio review will be further developed as other projects take shape and market analysis gathered.</p>

Project: Research Excellence

Lead: John Rowan

Duration: 01/03/2021 – 30/01/2023

Project Deliverables: £2.5 (collectively with Teaching Excellence)

RAG Status	Update	Commentary
	<p>All established workstreams have produced an interim or final report with analysis and recommendations, including:</p> <ul style="list-style-type: none"> • Research Efficiency Data analysis covering: • Income and overhead trends • Research income proportion by FTE • Research funding applications and awards, success rates by Schools • Research Efficiency by Schools • Research support costs • Own-funded research costs 	<p>Workstreams progressing after REF2021 submission, however savings still to be identified.</p> <p>Next steps will involve agreement of implementation plan to realize benefits, as well as to complete the workstreams that are yet to produce recommendations (WAM and Research Support Costs)</p> <p>Recommendations will focus on Growth of sustainable research base, married with effective cost control.</p>

Project: Staff Excellence

Lead: Pam Milne/Julian Blow

Duration: 21/03/2021 – 31/12/2021

Project Deliverables: High Performance Community

RAG Status	Update	Commentary
	<p>OSaR: Update of draft OSaR documentation will be reviewed at the next project group meeting. This will broaden the OSaR into a performance management mechanism to enable a high-performance culture.</p> <p>Staff Recruitment: A pulse survey for newly recruited academic staff (and their recruiting managers) has been</p>	<p>Steady progress being made. Some timelines for project to be revised and extended to accommodate various approval processes and committees for documentation.</p>

	<p>launched. Review of the recruitment process for academic staff also underway.</p> <p>Staff Induction: Best practice is being gathered in relation to staff induction and integration processes.</p> <p>OPD: Review of organisational development programme planned but not started.</p>	
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Project: Biomedical**Lead: Rory McCrimmon/Inke N  thke****Duration: 01/01/2021 – 30/09/2023****Project Deliverables:  3m**

RAG Status	Update	Commentary
	<p>Resource Units: Animal use strategy has been agreed and work has begun to define future space requirements. Options appraisal now underway.</p> <p>Teaching & Learning: Teaching efficiencies continue with BBSE/BMSc reducing duplication.</p> <p>Research: Associate Deans of Research developing a plan for future joint collaborations focussing on key themes. Mapping of research collaborations SMED/SLS, SMED/SMED and SMED/NHS taking place, with proposed survey to identify risks and opportunities and options appraisal being developed</p> <p>Commercialisation: Joint Cross-School commercialisation group in development</p> <p>Co-location of Staff: Groups to potentially move have been identified, with work on going in relation to equipment and space audit.</p>	<p>Communications plan being developed to ensure community informed.</p> <p>Project requires significant coordination of elements. More detailed plans to be developed as specific tasks emerge with timescales and milestones.</p> <p>Overall, project making good progress.</p>

Project: New Combined School**Lead: Julian Blow****Duration: 01/01/2021 – 30/09/2023****Project Deliverables:  3m**

RAG Status	Update	Commentary
	<p>Design Sprints: Design sprints now complete and data analysed. Outcome is decision from both UEG and Senate to recommend creation of a New Combined School for Court approval.</p> <p>Market Analysis: Market analysis exercise continues with expected outcomes September 2021.</p> <p>New Programmes: will depend on outcome of market analysis and agreed configuration of NCS.</p> <p>School Leadership: Identification of NCS school interim leadership to be complete by end of July.</p>	<p>Project has made good progress, with decision to create New Combine School so far approved.</p> <p>A communications plan is being developed.</p> <p>Plan over the coming months is to work through different options for possible configurations of NCS, making use of proposals from the Design Sprints and data related to academic performance and financial data already collected.</p>

Research Excellence June 2021 Court Update.**Introduction**

1. The Court Meeting of 17 November 2020 received a paper from the Vice-Principal (Academic Planning and Performance) and the Interim Principal setting out a programme of initiatives under the heading 'Academic Excellence & Structure' to enhance the academic excellence within the University and drive financial sustainability. An update of the evolving elements of the programme of related projects falling under the revised title of 'Academic Excellence and Sustainability' was provided to Court on 23 February 2021. This included a £2.5 million betterment target from 'Teaching and Research Efficiencies' to be realisable by financial year 2022/23.
2. This paper provides an update for Court members on work undertaken by the Research Excellence and Efficiency Group (REE Group) to date. This Group was established in January 2021 under the Convenorship of Prof John Rowan (Vice Principal Research, Knowledge Exchange & Wider Impact).

Background

3. The Terms of Reference established for the REE Group defines the Group: as a '*fixed term working group drawn from across the institution, comprising both academic and professional services, seeking to codify research excellence in its myriad of forms and through an analysis of its underpinning research environment, including its cost base, strengthen and ensure the sustainability of our world-leading research ambitions*'. This has been resolved to pursuit of the following key benefits:
 - Growing the research base to achieve world-leading research performance and global impact
 - Improved synergies and cost control, and leveraging research base for reputation and income
4. Membership of the REE Group comprises: Prof Amin Abdolvand, Daniela Bolle, Prof Blair Grubb, Pamela Houston, Dr David McBeth, Wesley Rennison, Prof Mark Robson, Prof John Rowan (Convenor), Ajit Trivedi and Susan Young. All have roles as senior academic positions or leadership roles from cognate Directorates (Research and Innovation, Research Finance, Strategic Planning, HR&OD).

Workstream Approach

5. Five workstreams have been established (Table 1 below), each typically having two or more members involved. The workstreams have progressed by collation and analysis of data, drawing in external benchmarking data where possible. The analysis is designed to inform policy and recommendations about where growth of income and contribution should be prioritised and where cost controls can be introduced or deliver greater savings.

Workstream	Key Milestone Progress	Final Outputs	Analysis Complete	RAG
Commercialisation	Interim report completed	Recommendations around income generation and leveraging research excellence	28.06.21	
Research and Workload Allocation	Interim report completed	Recommendations around researcher time allocations and minimum performance expectations linked to Annual Research Review.	15.06.21	
Grant Income and Overheads	Data analysis and recommendations report completed	Critical recommendations around grant income growth with particular focus on overhead generation – all income recognised as funding the research environment	15.06.21	
Research Support Function & Cost Base	Data analysis report completed	Analysis of patterns of research support costs across the institutions with recommendations to be made about optimising support levels and controlling costs.	28.06.21	
PGR Economy	All relevant analysis completed	Detailed analysis relating to the postgraduate research economy and strategic recommendations about PGR fees, fee-waivers and scholarships	15.06.21	
Realisation of Benefits	Summation	Review of all recommendations and actions into a consolidated benefits report – and action plan	30.09.21	

6. A brief summary of the interim findings of the Workstreams is as follows:

6a. **Commercialisation Workstream**

Has issued interim findings, with full report to follow:

- Grow CPD income – we are significantly below benchmark;

- Some growth potential in consultancy and facilities income (£6 million annually to £10 million over the next 5 years);
- Maintain levels of industry-funded research income, where we are already high against benchmark;
- Maintain commercialisation income, which is lumpy and unpredictable and already high compared (over a 3 year average) to benchmark;
- A final report with recommendations, benefits and deliverables produced by 28.06.21.

6b. **WAM Workstream**

Presented a discussion paper (31.05.21) which identified the following:

- Review the Annual Research Review (ARR) process to enable the link with OSAR and follow through on performance expectations of at least “internationally excellent” (REF 3* equivalence). This will be completed by September 2021 and will enable tighter control of WAM research time and associated staff costs.
- Guidance on expectations from T&R staff to be issued with the ARR which provide a menu of performance indicators/measures which can be prioritised by Schools.
- Proactive use of the WAM to reward high performance (based on grant capture or other indicators) with additional research time. This will be piloted by School of Science and Engineering.

6c. **Grant Income and Overheads Workstream**

Has undertaken research efficiency analysis covering: i) Income and overhead trends, ii) Research income proportion by FTE, iii) Research funding applications and awards, iv) success rates by Schools. Further analysis with benchmarks research income is underway by Strategic Planning. Recommendations from this workstream are:

- Grow research income from funders with a high FEC recovery, in particular UKRI income where we are performing poor against benchmark
- Maintain already high industry-funded research income
- Grow EU income back to pre-Brexit levels
- Enhance capabilities (support, networks and academic appetite) to win large grants
- Reduce proportion of small grants (expectation that these are for early-career researchers and those starting out with research funding)
- Investigate own-funded research on a School by School basis and in the context of quality research (REF and AAR)

Subsequent meetings will decide which centrally-driven initiatives can deliver these recommendations. These will be in the areas of culture change, e.g. enhance research leadership at Professorial level across all Schools, and a central research strategy in line with the preparation for the University strategy beyond 2022.

6d. **Research support function and cost base workstream:**

Has a degree of overlap with the Grant Income and Overheads Workstream, but the emphasis here is better understanding of the cost profile of research support across the institution, such as the levels of administrative support, and technical infrastructure delivering our world class research platforms. Further work will be required to identify ways to harmonise research support, find economies of scale working across Schools, for example in the New Combined School and in relation to the Biomedical Project (between SLS and MED) that is actively planning for consolidation into a single biological services facility following planned closure of the Medical School Resources Unit in Ninewells.

6e. **PGR workstream:**

Has completed their report, made the following recommendations, benefits and deliverables:

- Introduce new processes for setting of PGR fees (completed).
- Agree the introduction of PGR net income targets by School in the budget-setting process.
- Create reporting mechanism on the use of PGR tuition fee discounts, fee waivers and maintenance grants.
- A review of the latest budgets identified that some Schools were setting reduced net income targets. Further work to understand the reasons for this was identified.

Summary

7. The purpose of this brief report is to illustrate to Court the range of analysis being undertaken in relation to the research economy in pursuit of the goals of Academic Excellence and Sustainability. The systematic nature of the work, and the strong reliance on external indicators for benchmarking performance, should give Court confidence of rigour and value of the analysis undertaken.
8. The Convenor (VPR) is grateful for colleagues on the REE Group for their efforts in pursuit of this important initiative. With the completion of the first stage comprehensive reports appropriate action plans to deliver grow the research contribution and control costs will follow. The VPR will continue to provide regular updates to the AES Oversight Board to ensure the timely and effective implementation of the REE Group recommendations.
9. Court is invited to:
 - a. Note the progress to date and endorse the direction of travel;
 - b. Await further updates at subsequent meetings, including a summative reports from all the constituent parts of the AES project, including the REE Group's contribution to its mission.

Professor John Rowan
Vice Principal Research, Knowledge Exchange and Wider Impact
6 June 2021

Annex 2. Student Recruitment Analysis

- Our application position is variable, and it is clear this is a very uncertain cycle. Our focus is therefore on maximising demand from each region for September 2021 and converting as many as possible of those who deferred from September 2020. A summary of confidence against Open, Partnership and ICD 2021/22 budget expectations is provided in table 1, below.

Table 1: Open Recruitment Confidence against 2021/22 budgeted intake

	2021/22		Scottish	RUK	Overseas			
Open	Undergraduate	Controlled				Key		
		Uncontrolled						
	PGT				Do not expect to meet budget			
	PGR				Uncertain			
Partnership			n/a			Expect to meet budget		
ICD			n/a					

- We expect to meet open recruitment UG RUK targets and SFC caps and targets. We expect to meet Home PGT targets, however it is too early to comment with confidence on the 2021/22 PGR matriculation position. The uncertainty around international has risen since last Court. We rate PGT Overseas as amber (i.e. uncertain) above – note that while we believe it is possible the University will meet budgeted intake, the risk here is now high. There are three main drivers of this uncertainty, all external factors beyond our control. Firstly, the progress of the pandemic in key countries, notably in South Asia and parts of ASEAN. Secondly the absence of any direct commercial flights from key markets, notably China. Thirdly the Scottish Government has not yet published arrangements for quarantine or vaccination for arriving international students, nor indicated how far it will depart from UK red, amber, green designations. The University has communicated with international offer-holders to offer as much reassurance as possible of our intention to support, and will follow up with detailed quarantine and isolation support plans once this government guidance allows.

Table 2: 2021/22 UG Overseas Regional confidence vs 2020/21 performance

UNDERGRADUATE SUMMARY	Expected Matriculations v 2020/21	% of matriculations in 2019/20			
South Asia		10%	Key		
East Asia		30%			Expect Decline vs 2020/21
ASEAN		19%			Uncertain
Africa		7%		Expect Growth vs. 2020/21	
MENA		7%			
Americas		20%			
UK International		2%			
Europe		5%			
TOTAL OVERSEAS					

- Applications and offers to our fee-paying articulation partnerships are currently down by 23% and 19% respectively compared to the previous year at the same time. It is expected we will still receive new applications for 21/22 over the coming weeks (including January entry). We have summarised this differential impact of the pandemic on regional demand in tables 2 (above) and 3 (below), for UG and PGT respectively, below. The third column in each table highlights the percentage of our intake in 2019/20 (pre-pandemic) coming from these regions, and so provides a helpful proxy of the potential risk impact of anxiety about travel in each listed region. Note that regional impact is rated against last year's intake not against budget. This reflects the fact that we plan budget growth by school not by region. To sum up, the reluctance/inability of East Asian students to travel to the UK is the most substantive risk factor.

Table 2: 2021/22 PGT Overseas Regional confidence (S1 and S2 combined) vs 2020/21 performance

PGT SUMMARY	Expected Matriculations v 2020/21	% of matriculations in 2019/20
South Asia		16%
East Asia		53%
ASEAN		7%
Africa		13%
MENA		4%
Americas		5%
UK International		2%
Europe		<1%
TOTAL OVERSEAS		

Key	
Expect Decline vs 2020/21	
Uncertain	
Expect Growth vs. 2020/21	

Annex 3. Research Related Grants

1. The selection of grants and awards detailed below is intended to showcase the diverse range of research undertaken across the University which is enabled by funding sources that include research councils, charities and industrial sponsors. Please note that any joint awards listed below state the University of Dundee value only.
2. We would like to highlight that there were 38 publishable awards made in the reporting period with a total value of c. £10m, inclusive of £3m in overhead contribution. Details of other awards can be found in the usual tables within the [Court Supplementary papers](#) folder.

A. Research Award Highlights(i) **Dr Y Kulathu (Life Sciences)**

**Defining mechanisms of cellular stress responses driven by heterotypic ubiquitin chains (StressHUB)
£1,856,300 (including £486,030 overhead) from EC Horizon 2020 - European Research Council (ERC)**

This project will develop new technologies and methodologies to explore the roles of branched heterotypic ubiquitin chains (HUBs) as specialized signals in cellular stress responses. This research will ultimately provide greater understanding of how our bodies cells react and deal with stress.

(ii) **Dr J I B Bos (Life Sciences)**

**Understanding and Preventing Plant Susceptibility to Aphids (APHIDTRAP)
£1,624,629 (including £579,429 overhead) from EC Horizon 2020 - European Research Council (ERC)**

Aphids are devastating insect pests of crops globally, and pose a major threat to food security. Crucially, there is a lack of durable genetic crop resistance against aphids, and current control relies almost exclusively on insecticides, which are costly and damaging to the environment and to which aphids develop resistance. The project "APHIDTRAP" aims to elucidate the mechanisms that underlie susceptibility to aphids and investigate how we can interfere with these to reduce crop loss resulting from infestation.

(iii) **Professor T G Hales (School of Medicine)**

**Consortium Against Pain Inequality (CAPE) - The Impact of Adverse Childhood Experiences on Chronic Pain and Responses to Treatment (Joint with University of Aberdeen, University of Edinburgh, University of Stirling and University College, London) (Advanced Pain Discovery Platform)
£1,412,818.80 (including £713,694 overhead) from the Medical Research Council**

Two Dundee-led projects within the University's School of Medicine have been awarded £5m in total funding by the Advanced Pain Discovery Platform (APDP), a funding mechanism created by UKRI, Versus Arthritis and Eli Lilly. This project will explore the impact of more complex adverse childhood events on chronic pain and responses to treatment in adult patients. If these relationships are evident from this research, the evidence will inform public health approaches and the development of better treatments for chronic pain in vulnerable populations.

(iv) **Professor A I Lamond (School of Life Sciences)**

**Molecular Analysis of Nuclear Bodies and RNP Trafficking Pathways in the Cell Nucleus (Joint with the University of Oslo)
£917,141 (including £392,250 overhead) from Biotechnology and Biological Sciences Research Council**

Professor Angus Lamond in the School of Life Sciences has been awarded a new £1.128m BBSRC research grant to dissect RNA processing mechanisms in the nuclei of human cells. This 3 year project makes use of novel small molecule probes developed here at the University of Dundee to modulate the structure of cell nuclei and inhibit specific steps in the production of RNA in the nucleus that is needed for cell growth and metabolism. This project can help to explain molecular mechanisms involved in human diseases, including inherited disorders, cancer and viral infection and may identify new potential drug targets and protein biomarkers for future therapeutic applications.

- (v) **Dr L Marryat (School of Health Sciences)**
Utilising Linked Administrative Datasets to Explore the Developmental Pathways of Children Born to Women Who Use Opioids in Pregnancy
£243,598 (including £153,534 overhead) from Economic and Social Research Council

This novel 3-year study will bring together routinely-collected health data to compare the development of children who were exposed or unexposed to opioids during pregnancy, controlling for differences such as poverty, birth weight, and exposure to other substances. The aim is to build the evidence base in order to better inform and support women who use opioids and their children from pregnancy to birth and beyond.

- (vi) **Dr S Costa Santos (School of Social Sciences)**
At Home With Children? Liveable Space For The COVID-19 Challenge
£134,416.73 (including £88,373.96 overhead) from Arts and Humanities Research Council

The 'At Home with Children' research project aims to learn from the challenges of lockdown to better understand what 'liveable' space means for families. The project aims to impact housing policies/technical standards and increase awareness of the impact of domestic space in wellbeing.

- (vii) **Professor K A Mills (School of Social Sciences)**
Scottish Human Rights Defender Fellowship 2021/22
£116,939 (including £8,686 overhead) from Scottish Government

The Scottish Human Rights Defenders Fellowship, developed in collaboration with, and supported by, the Scottish Government, provides the opportunity for human rights defenders from around the world who may face danger because of their work to come to Scotland for a period of respite, training, research, and engagement with civil society organisations and government officials. During 2020/21 the fellowship was delivered online, but for 2021/22 we hope to welcome two defenders to Dundee in the Autumn term and two more in the Spring term.

- (viii) **Dr V Janjic (SCHOOL?)**
Securing Medical Data in Smart Patient-Centric Healthcare Systems (SERUMS) (joint with University of St Andrews, Stichting Zuyderland Medisch Centrum, Accenture, and 8 others)
£65,698 (including £59,448 overhead) from European Commission

The goal of the Serums project is to put the patients at the centre of future healthcare provision, enhancing their personal care and maximising the quality of treatment that they can receive, while ensuring trust in the security and privacy of their confidential medical data. The project is developing techniques to ensure security and privacy of personal data in a highly distributed and dynamic world, where data for diagnostics and treatment is collected from numerous devices (from hospital systems to personal monitoring devices) and exchanged through both private and public networks, where safety and privacy cannot be guaranteed ad-hoc.

Annex 4. People and Prizes

Below is a summary of the awards and prizes that have been achieved by our University of Dundee community since the writing of our last UEG report to Court.

Knowledge Exchange Award for Lighthouse Covid-Testing Project

1. The COVID-19 Collaborative Response Award was made to the Lighthouse Laboratory in Glasgow, a major new COVID-19 testing facility established with BioAscent Ltd and the University of Dundee, and subsequently developed and managed by the University of Glasgow in collaboration with high-throughput industry experts BioClavis Ltd.
2. The facility is one of the largest academic-run diagnostic facilities in the world and has had a major impact in helping with the pandemic response, having recently reached the 10 million COVID-19 test milestone. The award is strong recognition of the extraordinary work that has been done by all partners and is a demonstration of the 'One Dundee' ethos in dealing with the pandemic.

Stephen Fry Awards

3. The *2021 Public Engagement Project of the Year* was won by the Educational Comics team, who have created educational comics for partners including charities, creative economies, and the health and education sectors. Dr Andrea Rodriguez, from the School of Dentistry, was named *Engaged Researcher of the Year* for her work in co-designing a programme to improve oral health among young people experiencing homelessness. Finally, the winner of the *Engaged Early Career Researcher of the Year* category was Laura Jones, a research student within the School of Social Sciences who is helping to break down the barriers that women experiencing commercial sexual exploitation (CSE) face in accessing support.

Fellow of Academy of Medical Sciences

4. The University of Dundee's Professor Ian Gilbert has been elected to join the prestigious Fellowship of the Academy of Medical Sciences. The new Fellows have been selected for their exceptional contributions to the advancement of medical science through innovative research discoveries and translating scientific developments into benefits for patients and the wider society.

Jainti Dass Saggur Memorial Scholarship for Excellence

5. A Business student from the University of Dundee has been named as the inaugural winner of a scholarship launched in memory of Scotland's first non-white local councillor. Shaima Khan (19), originally from Lucknow Uttar Pradesh, has been awarded the Jainti Dass Saggur Memorial Scholarship for Excellence worth £5,000.

PhD Student of the Year

6. Holly Kier, PhD student at the University of Dundee, has now received the nomination in the Postgrad Awards 2021. The winner, to be announced on Monday 7 June, will receive a £500 cash prize as a reward for the hard work, dedication, and commitment they have demonstrated as an exemplary postgraduate student. Holly, based at the University's School of Medicine, has already received the British Thoracic Society's Early Career Investigator Award for 2021 in recognition of her research into the severe inflammatory lung condition, bronchiectasis.

Annex 5. University Executive Group Meetings

1. The University Executive Group has met formally on 21 April, 5 May, 19 May, 1 June and 2 June 2021. Two additional UEGs were convened on, 12 May and 26 May, to discuss strategy. The following items were considered:

A. CORPORATE MATTERS

- COVID
 - Contingency planning for education 2021/22
 - Sub-Group updates
 - Sectoral updates
- Tay Cities

B. HUMAN RESOURCES MATTERS

- Equality, Diversity and Inclusion
 - Race Charter submission
 - Athena Swan submission
- Return to work principles
- Talent strategy
- Pay negotiations
- Recognition and reward processes

C. FINANCE MATTERS

- Pensions (UoDSS, USS)
- Budget
- Financing update

D. STRATEGIC MATTERS

- Academic excellence and structure (new combined school)
- Toolkits for sustainability
- University strategy
- Performance indicators
- Communications plans
- Environmental sustainability

E. ACADEMIC MATTERS

- Curriculum design principles
- 22/23 academic year

APPENDIX 2**REPORT FROM MEETING OF THE SENATUS ACADEMICUS
(Minute 85)**

UNIVERSITY OF DUNDEE

COMMUNICATION FROM THE SENATUS ACADEMICUS

(Meeting of 26 May 2021)

1. REPORTING TO UNIVERSITY COURT

The following items were selected by Senate to highlight to Court:

Senate's discussions on:

The establishment of a New Combined School

Curriculum Design Principles and Programme Development Policy

Consultation on changes to the academic year from 2022 onwards

Consultation on the adoption of the IHRA definition of antisemitism

2. PRINCIPAL'S REPORT

The Senatus received a Verbal Report from the Principal.

The Principal reported on positive developments across the University and reflected on the progress made despite the challenges of pandemic-related disruption. The Principal noted that the University community had demonstrated how close cooperation and a clear sense of purpose could deliver excellence and sustainability moving forward.

Environmental Sustainability

The Principal reported that an environmental sustainability group had been established to take a fresh approach and provide leadership across a range of issues related to environmental and climate priorities.

The Principal explained that he had taken on the role of chairing the city-wide Climate Leadership Group that aimed to support civic ambitions for significant carbon footprint reductions.

The Principal noted the role played by the University in the early stages of plans to establish Dundee as the Eden Project's home in Scotland and welcomed the recent memorandum of understanding.

The Principal agreed that environmental sustainability issues should be included in forward planning for Senate's business in the next academic year.

Tay Cities

The Principal reported on further progress on projects related to the Tay Cities Deal. Senate noted that capital work in support of the projects had begun. The Principal reflected on the benefits of participation in local redevelopment that aligned with the University's core purposes and strategic ambitions.

Research Excellence Framework 2021

The Principal noted that the final elements of the University's REF 2021 submission were in hand. He explained that University Court had welcomed the approach taken and had congratulated the University's research community on producing an impressive submission.

The Principal reported on the decision to sign up to the [Technicians Commitment](#) and noted the University's ongoing support for researcher development and recognition of the vital role of post-doctoral and technical staff in the research environment. The Principal explained that future assessments of research excellence would include better recognition of the important role of expert research support and technical staff.

Financial Sustainability

The Principal reported that the Finance & Policy Committee had finalised details of a 5-year transition budget for recommendation to University Court. The Principal acknowledged that the budget would be challenging and explained that it aimed to provide a clear and confident route to financial sustainability on the University's own terms.

The Principal also reported on a recent Court awayday event where members were invited to consider the university of the future. Senate noted that the discussions revealed a shared focus on excellence in teaching, research, public engagement and the delivery of professional learning. The Principal also noted that members of Court and UEG were in agreement over the University's leading role in enabling cultural and economic development of the city and region.

The Principal explained that he was encouraged by the level of engagement and strong support from Court on the University's ambitions for excellence. He reported that the next step would involve the development of a Green Paper to form the basis of an inclusive strategy building process.

The Senatus decided:	to note the Report and look forward to contributing to the development of the next University Strategy.
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3. UNIVERSITY COURT

The Senatus received a communication from the meeting of Court held on 27 April 2021.

The Principal highlighted Court's approval of three strategic priorities for the University's direction into and beyond the next academic year; academic excellence and sustainability, student recruitment and experience with a focus on increasing international student numbers; and becoming a digitally enhanced university.

The Senatus decided:	to note the Report.
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4. AES: NEW COMBINED SCHOOL

The Senatus received a paper that proposed the creation of a new combined School from the existing Schools of Education & Social Work, Humanities and Social Sciences.

The Principal introduced the proposal and thanked staff from the three Schools for their engagement with the consultation and design processes. The Principal welcomed the development and explained that it represented a strong step forward in the academic excellence and sustainability programme.

The Vice-Principal Academic Planning & Performance reported on the processes followed in developing the proposal for consideration by Senate and Court. He noted that the motivation for the development was a recognition of challenges faced by the existing Schools and a strong desire to build critical mass and promote interdisciplinary connections in teaching and research.

The Vice-Principal explained that the University Executive and the Deans Group had worked closely with staff from the Schools in the development of the proposals with a clear emphasis on building on the strengths of the existing disciplines. Senate noted that the proposal included a provision for Architecture to return to Duncan of Jordanstone College of Art & Design (DJCAD).

The Vice-Principal emphasised that the proposal aimed to build a secure and sustainable basis for new programme development, high quality collaborations and a stronger academic reputation. The Vice-Principal asked Senate to note that the New Combined School would be smaller than some other Schools in the University and that the emphasis on developing new academic themes would necessitate further consultation and co-operation throughout the implementation phase of the project.

The Dean of Education & Social Work noted that the current proposal had developed from initial discussions by the Deans Group over practical actions that could be taken to deliver both financial and academic gains for the University. He reported that the School had taken a pragmatic but collegial approach to the proposals, recognising that the School would continue to thrive under current arrangements but also acknowledging that the proposal was in the best interests of the wider University.

Senate noted that the School was committed to the success of the project and fully supportive of the aims for greater interdisciplinarity and financial sustainability.

The Interim Dean of Social Sciences reported that staff in the School had been very engaged and that the process had encouraged innovation and strategic thinking. He noted that there was a realisation that additional work and consultation would follow. He reported that staff looked forward to the next steps with a real sense of purpose.

The Interim Dean also welcomed the Design Sprint approach that had given an indication of how collaboration could work in the future. The Principal agreed that staff involvement in interdisciplinary collaboration was vital for the success of the new school and would deliver benefits for the cross-discipline MA programme as well as for innovative research.

The Interim Dean of Humanities reported that staff in the School were pleased that the consultation exercise had led to a better understanding of the need to maintain discipline focus and visibility. He noted that staff in the School were enthusiastic about breaking down barriers and welcomed the opportunities that the New Combined School could offer. The Interim Dean confirmed that he was in favour of the proposal before Senate.

The Dean of Art & Design welcomed the proposal for Architecture to return to DJCAD. Senate noted the strong affinity with DJCAD as a centre of excellence and its ability to share expertise and resources.

The Dean acknowledged that some practicalities would need to be worked through during implementation but expressed confidence in the direction of the project. The Dean also welcomed the opportunities for the DJCAD to increase its capacity to contribute to the civic agenda.

Senate noted the participation of staff from DJCAD and V&A Dundee in the design sprints, with thanks for their invaluable contributions to the process.

Senate also noted that DJCAD had faced a challenging year and that the implementation of changes would need to address concerns about infrastructure and resources. The Principal confirmed that discussions on the estate and infrastructure need to support the ambitions of the University were ongoing.

Members of Senate expressed support for the decision to retain academic disciplines and suggested that the development of coherent academic themes for the new School required the inclusion of strong disciplinary perspectives.

Members noted the need for discussion and agreement over the naming of the new School. The Principal asked members to feed in ideas and suggestions for consideration. He confirmed that some parts of the new School would need to find ways to ensure clarity and continuity over naming, in the context of professional and regulatory requirements as well as for the purposes of marketing and branding (e.g. Law, Education).

Members noted that the proposal did not specify details on staffing levels in the new School or address the concerns over the possibility of staff reductions. The Principal explained that the structural change proposal before Senate did not alter budget targets that had already been established and in itself had no resource implications. He emphasised that this would give the new School some flexibility for development. He noted that discussions on necessary cost savings and efficiencies across the University, and in the new School, would continue as a related but separate part of the overall AES programme.

The Dean of Business observed that the Business School welcomed the proposal and looked forward to exploring opportunities for collaboration with the new School.

The Dean of Science & Engineering spoke in support of cross-School collaboration through projects such as the Innovation District and the Studio Dundee initiatives.

Some members of Senate expressed concerns that ongoing financial constraints might limit the ability of the new School to prosper and warned that the time and energy spent on restructuring might prove to be a poor investment or divert staff attention from core activities. Senate also noted the challenges involved in managing multi-disciplinary Schools and the dangers of introducing democratic deficits, especially for relatively small or highly specialised disciplines.

Members of Senate who had taken part in the Design Sprints reported that there had been strong support for collaboration and interdisciplinary working. It was noted however that the new School structure was not an issue that was

discussed in detail during the process. Members also noted the need for effective communication between disciplines and to ensure that the new combined School did not become a new boundary or barrier to wider cross-University collaborations.

The Principal agreed that the creation of new barriers to collaboration would represent a failure. He urged Senate to continue to challenge and question developments with constructive criticism and retain a healthy scepticism. The Principal agreed that the progress made so far could lead to opportunities for other parts of the University. Senate noted the long standing and successful collaborations between Art & Design and Humanities that could provide a useful model for future developments.

Members noted that the most recent restructure of the University's academic organisation had removed some unnecessary barriers and that a flatter structure had proven to be an important facilitator of collaborative conversations and enhanced consistency. Members also noted the need to ensure that the requirements and essential character of professional education were appropriately integrated into the work of the new School, both in terms of naming and in the provision of leadership roles to support professional education.

The Principal concluded the discussion by noting the strong support for the proposals from many members of Senate and welcomed the sense of coming together, indicative of the one-Dundee spirit. He recorded his thanks to those involved in the consultation and development process to date. Senate noted that open and transparent communication with staff and students in the three existing Schools would continue as the project progressed.

The Principal reiterated his invitation to members of Senate for them to submit suggestions and comments on the naming of the new combined School.

The Senatus decided:	to approve the proposal to establish a new combined School from the Schools of Education & Social Work, Humanities and Social Sciences;
	to approve the proposal for Architecture to move from the School of Social Sciences to Duncan of Jordanstone College of Art & Design; and
	to ask Court to exercise its powers to alter the organisation of academic disciplines in the University under Statute 9 6(m) accordingly.

5. CURRICULUM DESIGN PRINCIPLES

The Senatus received the Curriculum Design Principles Paper from the Vice-Principal Education, for Approval.

The Vice-Principal explained that the principles were designed to help establish a coherent and efficient framework for curriculum and programme development. Senate noted that the principles would help the University to develop and design programmes that were better aligned with student-demand while also providing a method for evaluating existing provision through the periodic programme review process.

The Vice-Principal reported that design sprint methodology had been used to help specify efficiency, marketability and graduate attributes as integral to programme design. Senate noted that innovation, inclusivity and experiential learning were also highlighted in the design process. The Vice-Principal acknowledged that professional and regulatory requirements would need to be factored into the design process in certain disciplines.

The Vice-Principal explained that next steps would include identifying academic champions in each School and the development of useful resources and practical design tools. Senate noted that five working groups would be established over the summer with plans to report back on progress at the start of Semester 1 2021-22.

Members of Senate agreed that the paper represented an important step forward in helping to ensure that the University's academic programmes were well-designed and academically and financially sustainable. Members were encouraged to share the document with colleagues in order to inform discussions on the development of new programmes or modules, as well as to revise and rejuvenate existing programmes.

Members noted the need to ensure that accessibility issues were at the forefront of the design process. It was acknowledged that physical, technological and cognitive accessibility were vital to ensure diversity and inclusion across the full range of academic programmes.

Senate welcomed the intention to make clear what is unique and distinctive about the University's offering relative to other institutions. Members approved of plans to further articulate the clear connection between research and teaching. Members also noted that greater consistency in design and delivery might enable greater flexibility, efficiency and choice for students, especially in the initial stages of their academic journey.

Senate also welcomed the clear focus on employability and the potential to offer additional opportunities to students by allowing time for internships and other credit-bearing studies in the curriculum.

Members noted that the University's ambitions to revitalize the curriculum would need to be supported in terms of continuing investment in the infrastructure to support new hybrid ways of delivering teaching.

The Principal concluded the discussion by noting that the emphasis on the digital campus as a strategic priority for the University would help ensure a clear focus on practical implementation and operationalisation.

The Senatus decided:	to approve the Curriculum Design Principles.
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6. PROGRAMME DEVELOPMENT POLICY & GUIDANCE

The Senatus received the Programme Development & Policy and Guidance from the Interim Director of Quality and Academic Standards, for Approval.

The Interim Director explained that the Policy & Guidance was linked to the Curriculum Design Principles and was a high-level policy aimed at establishing clear procedures for developing new programmes to meet the strategic needs of the University.

Senate noted that the Policy & Guidance had been discussed and refined by the relevant Committees in advance of implementation over the course of the next academic year.

The Interim Director explained that implementation would include the development of user guides and training opportunities. Senate noted that implementation would also take account of a new curriculum management system to be introduced in 2022.

Members of Senate noted that overly complex processes for programme approval might serve to discourage innovation and change. The Interim Director agreed on the importance of proportionality and noted that the risk-based approach was aligned with sector-level expectations.

The Principal thanked the Director and both the substantive and Interim Directors for their work in developing the Policy & Guidance and noted that the next phase would ensure that the policy supported streamlined and proportional programme approval processes.

The Senatus decided:	to approve the Programme Development & Policy and Guidance.
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7. ACADEMIC YEAR 2022 and BEYOND

The Senatus received a consultation paper on the academic year arrangements from the Director of Academic & Corporate Governance.

The Director explained that the consultation paper would be shared with Schools, Directorates and the Students' Association to gather a range of views.

Members of Senate noted that, unlike the University, some other institutions had not delayed their start dates during the Covid-19 pandemic. It was suggested that the issue needed further investigation so that a shortened Semester could be avoided to reduce pressure on teaching staff.

Members also noted the need to include equality, diversity and inclusion concerns in the consultation. Members acknowledged the potential for a significant impact on work/life balance especially for staff and students with caring responsibilities if the timing of local School holiday dates, for example, were not factored into the University's Semester dates.

The Director agreed to update the Consultation Document in light of the feedback received.

The Senatus decided:	to approve the Consultation on Academic Year 2022 and Beyond for issue, subject to minor amendment.
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8. PROPOSAL TO ADOPT THE IHRA DEFINITION OF ANTISEMITISM

The Senatus received a Consultation Paper from Director of Academic & Corporate Governance.

Some Members expressed a concern that the IHRA Definition was too narrowly focused and suggested that alternatives might be considered. Members also highlighted the need to widen discussions on race equality initiatives.

Senate noted the need for academic disciplines such as History to be free to debate and contextualise issues related to antisemitism and other forms of racism.

Members noted that the current proposal was simply for a consultation to take place within the University community and that it was important to be clear about how responses from the Consultation would be dealt with and a final decision made.

The Principal explained that the outcome of the Consultation would return to Senate and Court in due course. He also explained that the results of the University's Race Equality Charter survey would be considered and that a wide range of views would help inform future decision making.

The Senatus decided:	to approve the Consultation for issue, subject to minor amendment.
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9. CONVENER'S REPORTS

The Senatus received reports from the conveners of Senate committees.

The Senatus decided:	to note the Reports.
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10. STUDENT GOVERNANCE OVERSIGHT GROUP

The Senatus received a Report from the meeting of 13 May 2021 and Appendices, for Approval.

The Senatus decided:	to approve the SGOG Report and Appendices.
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11. STAFF COUNCIL (PRINCIPAL'S QUESTIONS)

The Senatus received a Report from the meeting of Staff Council held on 4 May 2021, for information.

The Senatus decided:	to note the Report.
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12. FINANCE & POLICY COMMITTEE

The Senatus received a Report from the Court Finance & Policy Committee meeting of March 2021, for information.

The Senatus decided:	to note the Report.
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13. PROFESSOR EMERITUS

Subject to the concurrence of Court, to confer the title of Professor Emeritus upon

Professor Alan Fairlamb

Professor Peter Davey

Professor John Peters

Professor Colin Henderson (effective 30/9/2021)

14. DUSA EXECUTIVE ELECTIONS

The Senatus noted the Results of DUSA Executive Elections 2021

Dimitris Vidakis - President

Izuin Hanis – Vice President Academia

Samantha McElhinney – Vice President Representation

Catherine Coyle – Vice President Student Wellbeing

Josh Sutcliffe – Vice President Student Activities

Laura Van Overbeek Crusells – Vice President Community

Megan-Rose Birdsall – Vice President Fundraising

15. INTERNATIONAL COMMITTEE

The Senatus received a Report from International Committee meeting held on 11 May 2021.

The Senatus decided:	to approve the Report.
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16. RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE

The Senatus received a Report from the Research & Knowledge Exchange Committee meeting held on 6 May 2021.

The Senatus decided:	to approve the Report.
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17. LEARNING & TEACHING COMMITTEE

The Senatus received a Report from the Learning & Teaching Committee meeting held on 11 May 2021.

The Senatus decided:	to approve the Report.
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18. SUMMARY REPORTS OF SCHOOL BOARDS

The Senatus received Summary Reports from School Boards.

The Senatus decided:	to approve the Reports.
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19. POSTGRADUATE APPEALS COMMITTEE

The Senatus received a Summary Report from the Postgraduate Appeals Committee meeting held on 30 March 2021.

The Senatus decided:	to approve the Report.
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20. QUALITY & ACADEMIC STANDARDS COMMITTEE

The Senatus received a Report from the Quality & Academic Standards Committee meeting held on 21 March 2021.

The Senatus decided:	to approve the Report.
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APPENDIX 3

FINANCE & POLICY COMMITTEE MINUTES (Minute 88 (1)(i))

A meeting of the Committee was held on 20 May 2021 via TEAMS online meeting.

Present: Keith Winter (Convener);
Karen Bassett;
Tricia Bey;
Lady Lynda Clark; and
Colin Clunie.

<u>In Attendance:</u>	Wendy Alexander Dr Neale Laker James Lucas Dr Jim McGeorge Dr Christine Milburn Olaf Postola Olga Potopova Carol Prokopyszyn Dr Liz Rogers	Vice Principal (International); Director of Academic & Corporate Governance; KPMG (Senior Manager); University Secretary & Chief Operating Officer; Senior Policy Officer (Corporate Governance); Corporate Governance Support Officer; EY (Manager); Director of Finance; and Policy Officer (Risk & Audit).
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<u>Apologies:</u>	Richard Bint Neil Thomas	Convener of the Finance & Policy Committee; KPMG (Partner).
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1. MINUTES

Resolved to approve the minutes from the meeting of 2 March 2021.

2. MATTERS ARISING

(1) [Action Log](#)

The Committee noted and approved the log of ongoing actions.

Resolved: to approve the action log.

3. CONVENER'S REPORT

The Convener provided the Committee with his regular update on activities and interactions that had taken place between meetings. The Convener highlighted his conversation with the Director of Academic & Corporate Governance about the Review of Committee Effectiveness and informed Members that he would be attending the Strategic Session of the Court on 24 May 2021 and the Finance & Policy Committee meeting on 25 May 2021.

Resolved: to note the update.

4. COVID-19 RISK REGISTER

The Committee reviewed the COVID-19 Risk Register. Members were pleased to note the addition of a risk map, depicting the risks in terms of their residual scoring, and an executive summary outlining changes to the risk register since the Committee last reviewed it at its meeting on 2 March 2021. The Committee noted that the residual score for the University's asymptomatic test centre had been reduced due to the increased provision of asymptomatic testing from the NHS. The Committee also discussed the impact the move from Level 3 to Level 2 COVID-19 restrictions may have on residual scorings, noting that this may further mitigate risk pertaining to staff and student experience.

In concluding the discussion, the Committee agreed it would be beneficial to continue to review the COVID-19 Risk Register at every meeting due to the quickly changing risk environment in this area.

Resolved: to note the update.

5. **RISK APPETITE STATEMENT**

The Director of Academic & Corporate Governance introduced an open discussion on the Risk Appetite Statement. Members noted that the Statement had been developed by the University Court in 2017 and that a new Statement would be developed in tandem with the new University Strategy. However, there was now an opportunity to re-visit the existing Statement in order to determine whether the existing risk appetite levels remained appropriate.

Discussions focused on the importance of risk appetite statements and how these were utilised in decision making across the University, and how the risk appetite linked to the Institutional Risk Register. The Committee noted that the University had minimal risk appetite for risks pertaining to infrastructure whilst also seeing increasing risk pertaining to IT resilience and cybersecurity. Members noted that the Institutional Risk Register had marked this risk as a priority area as it sat outwith the University's Risk Appetite. The Committee noted that an Information Security Working Group was now in place and Members noted that the Risk Management Oversight Group had recently held a meeting focused on risks pertaining to IT infrastructure (see item 18 below).

The Committee noted that the Committee's feedback would be used to support development of the future risk appetite statement, and that this appetite statement would be brought back to the Committee after the 2021 Court Retreat.

Resolved: to note the update and await a further report in October 2021.

6. **EXTERNAL AUDIT: 2021/22 EXTERNAL AUDIT PLAN**

The external auditors outlined the approach to be taken in carrying out the external audit for the year ending 31 July 2022, and in doing so set out the scope, fee and materiality thresholds for the audit and informed the Committee of the Department for Business, Energy and Industrial Strategy (BEIS) consultation: 'Restoring trust in audit and corporate governance'. The overall scope of the audit remained unchanged from the previous year. The external auditors also formally confirmed their independence.

The external auditors drew the Committee's attention to the risks associated around the deliverables outlined in the audit timetable, informing the Committee that they intended to report before December 2021, but it was unlikely that they would be able to report finally before the November 2021 Court meeting. It was noted that, following the decision of the Office for Students to amend their reporting deadline to February 2022, it was also possible that the Scottish Funding Council may also choose to do the same. Members noted that the Director of Finance would work with the external auditors on the audit timetable and committee reporting.

The external auditors set out the requirements around going concern. In response to questions, the external auditors informed the Committee that the approach to going concern conducted in 2020/21 would meet new revised standards for going concern compliance.

Resolved: to note the report.

7. **INTERNAL AUDIT: PROGRESS REPORT**

The Committee reviewed the internal audit progress report, noting the overall positive progress made against all the planned internal audits. The Committee noted that internal audits on the following had been scheduled for the August 2021 Committee: Business Transformation: HRP Implementation; Portfolio Development; HR Process: Academic Performance Review; Core Financial control: Payroll; and Compliance: Data Quality.

On the follow up work, the Committee noted that 4 actions had been closed since the last report in March 2021, with 19 outstanding, 16 of which were not yet due. The 3 outstanding actions had been revised with their action owners and management were content with the interim arrangements in place. The Committee were reassured that management and the internal auditors were maintaining appropriate oversight of audit recommendations.

Resolved: to note the update.

8. 4 YEAR REVIEW OF EFFECTIVENESS

The Committee reviewed a report from the Director of Academic & Corporate Governance and Corporate Governance Support Officer outlining the findings of the Review of Effectiveness for the Audit & Risk Committee. The Committee noted the findings in the review, including recommendations to further improve the effectiveness of the Committee. The recommendations included enhancements to the Committee induction, the provision of University updates between meetings and providing more context on the way in which the University operated. The Convener would also have one-to-one meetings with members on an annual basis to identify member training needs. University management would also work with the internal auditors on Value for Money, noting that this was an area where the Committee felt it required further oversight.

Overall, the mechanisms of the Committee worked well, and the recommendations in the report were more tailored toward enhancements rather than to mitigate areas of serious weakness. The Committee agreed that an annual discussion could be planned to review the implementation of the recommendations.

Resolved: (i) to approve the recommendations as set out in the report; and
(ii) otherwise to note the update.

9. INFORMATION GOVERNANCE UPDATE

The University Secretary provided the Committee with an update on the implementation of actions emerging from the internal audit on Information Governance (2020). The Committee were pleased to note that positive progress had been made against the recommendations and that a new Senior Information Governance Officer had been appointed. The Committee noted that, since November 2020, 100% of Freedom of Information requests had been responded to within appropriate timescales. The Committee noted that the University was committed to transparency and published available data when possible.

Resolved: to note the update.

10. REVIEW OF PROJECT MANAGEMENT: UPDATE ON MANAGEMENT ACTIONS

The Committee reviewed an update from the University Secretary regarding the University's approach to project management. The Committee noted that work had commenced as part of the Academic Excellence & Sustainability Programme on a board approach to project management. Members noted that a report would be provided on the new approach in due course.

Resolved: to note the update and await a further update in due course.

11. BUSINESS TRANSFORMATION PROJECT UPDATE

The University Secretary provided the Committee with an update on the Business Transformation Programme. Members noted that the finance module continued to operate well and had now been operational for two years. Phase 1 of research was now undergoing a soft launch within the Finance team and phase 2 was also underway. Testing for payroll was going well, but due to some minor fixes being required, the implementation of this may be delayed to October/November 2021 as opposed to September. Improvements to the student system had been made with placements now live and in use by the Schools of Health Sciences and Medicine. Finally, UCAS clearing was also close to completion.

The Committee noted that the partnership with TechnologyOne continued to be positive.

Resolved: to note the update.

12. UPDATE OF BUSINESS TRANSFORMATION LESSONS LEARNED REVIEW

The Committee received an update from the University Secretary on the Business Transformation Lessons Learned Review. Members noted that procurement changes had been implemented and that new controls had been put in place to avoid conflicts of interest arising within the Business Transformation team. Members were content with the progress on the implementation of the recommendations as identified in the lessons learned review and noted that these changes would be reflected in the Institutional Risk Register.

Resolved: to note the update.

13. RESERVED BUSINESS: LEGAL RISK REPORT

[Secretary's note: Members should note that this item is considered strictly confidential. The University claims the exemptions in Sections 30b and 30c and 33(1)(b) of the Freedom of Information (Scotland) Act 2002. The minute has been redacted and is provided under separate cover and will be published as an appendix to the minute of the Court meeting at which its release is approved.]

14. NARRATIVE FOR THE COURT

It was agreed that the report to Court would contain the following: the risk of the annual accounts process being extended; the endorsement of the COVID-19 risk register and acknowledgement of the improvements made to Committee reporting; the completion of the Review of Committee Effectiveness and associated recommendations; the changes to the University's approach to project management; positive progress on Business Transformation; and the Committee's recommendation for more focus on cybersecurity as the University becomes more digitally enhanced.

15. UNIVERSITY STRATEGY TO 2022: PERFORMANCE MEASURES

The Committee received an update on the University Strategy to 2022: Performance Measures. The Committee noted that a new Key Performance Indicator framework would be developed alongside the development of the new strategy.

The Committee discussed the development of the new strategy and suggested that the transition from the old to the new strategy should be monitored. It was recommended that the new strategy development be added to the Committee's forward business plan, and touch points should be introduced to assess any future risks.

Resolved: to note the update.

16. ANNUAL WHISTLEBLOWING REPORT

The Director of Academic & Corporate provided the Committee with the annual whistleblowing report, and the Committee noted that there had been no cases of whistleblowing in the previous 12 month period.

Resolved: to note the update.

17. HEALTH, SAFETY & WELFARE SUB-COMMITTEE

The Committee noted the minutes from the meeting on 26 March 2021.

Resolved: to note the minutes.

18. RISK MANAGEMENT OVERSIGHT GROUP

The Committee discussed the Risk Oversight Group minutes from the meeting on 15 April 2021, at which the Group had focused on cybersecurity. The Group had carried out deep dives on the risk of ransomware attacks and on data loss. The Committee noted that cybersecurity risk was increasing, with other Higher Education Institutions experiencing attacks, and were pleased to note that an Information Security Working Group was in place to seek to further mitigate risk in this area. It was agreed that the University Secretary would provide members with an update on actions taken at the meeting on 10 August 2021.

Resolved: to note the minutes and await a further update on cybersecurity at the August 2021 meeting.

19. DATE OF NEXT MEETING

Resolved: 10 August 2021, 2pm.

Keith Winter

Convener

APPENDIX 4

FINANCE & POLICY COMMITTEE MINUTES FROM THE ADDITIONAL MEETING ON 5 APRIL 2021 (Minute 88 (2)(i))

An additional meeting of the Committee was held on 5 April 2021 via video conference.

Present: Richard Bint (Convener);
Alan Bainbridge;
Ronald Bowie;
Dr William Boyd;
David Dorward;
Scott Quinn (DUSA President);
Professor Mairi Scott; and
Sharon Sweeney.

In Attendance: Dr Neale Laker (Director of Academic & Corporate Governance);
Dr David McBeth (Director of Research & Innovation Services);
Dr Jim McGeorge (University Secretary & Chief Operating Officer);
Dr Christine Milburn (Policy Officer (Corporate Governance)); and
Carol Prokopyszyn (Director of Finance).

Apologies: Professor Iain Gillespie (Principal & Vice-Chancellor).

[Secretary's note: prior to the start of the meeting Professor Iain Gillespie (Principal & Vice-Chancellor) declared a conflict of interest in the matter being discussed, arising from personal connections, and did not attend the meeting or receive the associated papers.]

1. CONFIDENTIALITY

The University Secretary drew members' attention to the statement of confidentiality as set out in the paper provided. In doing so he reminded members that the matter for discussion was highly confidential from both a regulatory and legal perspective. Those present each verbally confirmed that they agreed to the terms set out and that they understood that they were duty bound to maintain confidentiality until explicitly informed otherwise, and the consequences for any breaches in confidentiality.

Resolved: to note that each member and officer present had individually confirmed their agreement to the terms of confidentiality as set out in the paper.

2. DISCUSSION OF CONFIDENTIAL FINANCIAL MATTER

The Director of Finance introduced a paper which had been circulated to members prior to the meeting and in doing-so provided an overview of the matter for consideration, context for the recommendations set out, and details of the anticipated timeline. The Director of Research & Innovation Services (Director of RIS) provided a detailed account of the process which had led to the submission of the paper, including: options considered, value for money, risk evaluation, and the governance processes followed to date.

Members welcomed the comprehensive and informative paper. In response to questions from the Committee the Directors provided details of expected contractual requirements and clarified the level of risk exposure for each of the options considered. Members closely questioned the rationale around the percentage of the University's proposed retention of its interest and was satisfied by discussion that this represented an appropriate balance of risk, certainty, and optimal realisation of value. Through more general discussion the Committee was content that there were no consequential financial implications which required to be addressed and that the recommendation was balanced and in the best interests of the University.

In response to questions the University Secretary confirmed that once the transaction had been concluded, the University Executive Group would consider, and provide a paper to the Committee, setting out its thinking on how the funds may be best utilised for the purposes of strategic investment. In this respect members highlighted the importance of ensuring that investments were aligned to the University's future strategic direction. In doing so they indicated that the availability of significant windfall funds for investment did not obviate the need to continue to address matters of ongoing financial sustainability as previously presented to the Committee and the Court.

- Resolved:**
- (i) to unanimously approve the sale of not less than 95% of the University's shareholding in Exscientia Ltd to the SoftBank Vision Fund II-1 LP for a total consideration of US\$56.225m, delegating authority to the University Secretary and Director of Finance to finalise and execute the deal; and
 - (ii) to authorise the Director of Finance, for the purposes of administering this transaction, to:
 - convert the full proceeds of the sale to pounds Sterling and, where prudent hedging risk; and
 - breach the financial cap for any existing counterparty within the Treasury Management Policy (s.A1.1), subject to the Director ensuring (in the interests of risk management) a reasonable deposit spread across the counterparties.

Richard Bint
(Convener)

APPENDIX 5

**FINANCE & POLICY COMMITTEE MINUTES
(Minute 88 (2)(ii))**

A meeting of the Committee was held on 25 May 2021 via video conference.

<u>Present:</u>	Richard Bint (Convener); Alan Bainbridge; Ronald Bowie; Dr William Boyd; David Dorward; Professor Iain Gillespie (Principal & Vice-Chancellor); Scott Quinn (DUSA President); Professor Mairi Scott; and Sharon Sweeney.	
<u>In Attendance:</u>	Bernadette Malone Keith Winter Dimitris Vidakis Professor Julian Blow Peter Fotheringham Professor Blair Grubb Dr Neale Laker Dr Jim McGeorge Dr Christine Milburn Carol Prokopyszyn Professor John Rowan Brian Thomson	(Deputy Chair of Court); (Convener of the Audit & Risk Committee); (DUSA President Elect) (items other than 3,4 &6); (Interim Vice-Principal (Academic Planning & Performance)); (Deputy Director of Finance); (Vice-Principal (Education)) (item 3); (Director of Academic & Corporate Governance); (University Secretary & Chief Operating Officer); (Policy Officer (Corporate Governance)); (Director of Finance); (Vice-Principal Research, Knowledge Exchange & Wider Impact); and (Assistant Director Estates & Campus Services)(items other than 3,4 &6).
<u>Apologies:</u>	Rose Jenkins Wesley Rennison	(Director of Estates & Campus Services); and (Director of Strategic Planning).

1. **MINUTES**

Resolved: to approve the minutes of the meeting of 23 March 2021.

2. **MATTERS ARISING**

(1) Action Log

Members noted the action log for the Committee.

Resolved: to approve the action log.

3. **DIRECTOR OF FINANCE REPORT**

The Director of Finance introduced her regular report which provided an update on matters relating to: USS and UoDSS pension consultations, benchmarking data, treasury management, and the extension/renewal of the existing revolving credit facility with the Bank of Scotland.

Regarding treasury management, the Committee noted factors contributing to the cash position being significantly better than expected in the report at the end of Quarter three (Q3). The Director advised members of the resulting impact on counterparty limits and in response to her proposal, the Committee approved the addition of NatWest as an additional counterparty with a limit of £25m and 50% and the amendment of counterparty limits within the Treasury Management Policy. The Committee also noted that the finance team intended to make use of longer-term deposit accounts to maximise the interest earned on the cash balance. The Committee further noted that in

order to align with the University values and wider stakeholder concern, the finance team would liaise with banking partners to consider ESG (Environmental, Social and Governance) linked deposit accounts for this purpose.

With regard to the extension/renewal of the existing revolving credit facility with the Bank of Scotland, the Director drew members' attention to the anticipated timeline for the conclusion of negotiations. Members noted that it was anticipated that a confirmed offer would be received in late June 2021 and as such the Committee recommended to the Court that authority be delegated to the Convener of the Finance & Policy Committee and the Chair of Court to approve final terms on the basis set out below.

Turning to the benchmarking data provided, the Committee welcomed the information but requested that further detailed benchmarking is undertaken for staff costs. Members noted that this benchmarking data was not readily available and officers undertook to explore what further level of granularity could be achieved using HESA data later in the year. Through discussion members concluded that the data currently available reaffirmed the position that the University was significantly behind the average position and highlighted the importance of delivering against the budget proposed.

- Resolved:**
- (i) to approve the addition NatWest as an additional counterparty with a limit of £25m and 50% and the corresponding amendment of counterparty limits within the Treasury Management Policy;
 - (ii) to recommend to the Court that authority be delegated to the Convener of the Finance & Policy Committee and the Chair of Court to approve final terms for the extension/renewal of the revolving credit facility with the Bank of Scotland within the following parameters: a term of up to 5 years, a total loan value of up to £40m, HE market standard covenants; and interest payable on drawdowns of SONIA plus 1.5%;
 - (iii) to note that officers would investigate the provision of more granular data in relation to the benchmarking of staff costs as a percentage of income; and
 - (iv) otherwise to note the report.

4. **RESERVED BUSINESS: BUDGET 2020/21 TO 2025/6**

The Committee received a paper which set out the proposed budget for 2021/22 and the financial plan to 2025/26, and which aligned to the financial strategy agreed by Court in September 2019. Members noted that the plans would form the basis of the SFC submission by 30 June 2021. In introducing the paper, the Principal described the transitional nature of the budget and members noted in particular that years 3-5 would be influenced by the work to clarify the University's strategic direction. He encouraged the Committee to hold the University Executive Group (UEG) to account for the delivery of the budget and reassured members that where any deviations were sought these would be supported by a clear business case and benefits assessment.

The Committee noted the impact of the COVID-19 pandemic on the budget, and in particular the longer than anticipated recovery profile. The Director of Finance drew members' attention to cash flow projections for 2021/22, and members noted that the high cost-base, increased pensions costs, and challenging international recruitment market had led to the projection of a negative cash-flow. Members were advised of the University's intention to utilise the Revolving Credit Facility (RCF) for working capital purposes to ensure that the cash position as detailed in the Q3 accounts (item 6 below) was available for strategic investment in the University's future.

Finally, the Director provided a high-level overview of modelled scenarios, assumptions and contingencies within the proposed budget. In this regard members noted the need to reduce staff costs and to invest in digital infrastructure and asked that the assumptions and risks used in modelling the scenarios be shared with members by circulation.

The Committee discussed expectations in the budget for overseas income growth and through discussion was reassured that the University was proactive in its use of a range of tools to combat challenges and sustain performance in this regard.

Turning to the projections relating to staff cost savings members expressed the need to maintain a firm focus on financial sustainability. In response to concerns that staff numbers could increase again over time, the University Secretary outlined the processes in place for the consideration and review of staffing requests. The Committee

encouraged officers to undertake an Equality Impact Assessment (EIA) as and when necessary in relation to staff reduction proposals and to ensure a cost: benefit analysis was performed on business cases coming forward.

The Principal went on to highlight the vision of the UEG for the development of a people/talent & skills strategy for consideration by the people & Organisational Development Committee, and members noted that staff cost-reduction would be balanced against investment in the University's future in this area.

With regard to the differential contributions sought from across the 10 schools, the Committee noted that all schools were equally challenged, if not challenged in the same ways. The Committee suggested that it would be helpful to understand the performance of each school and to better understand the different challenges faced by each. Members were also keen in due course to see plans for future investment to ensure that the University was able to maintain its global competitive position and explored the importance of creating headroom to invest in staff as well as infrastructure.

Turning to fundraising targets, members noted that there had been a dip in performance in 2020/21 due to the impact of the COVID-19 pandemic on the number of fundable projects but that this was expected to recover to previous levels for 2021/22. Members also sought clarity regarding the calculation of staff cost savings and how this translated in terms of FTE. Finally, the Committee asked that the Director of Estates & Campus Services be invited to comment on the Capital Expenditure budget at its next meeting on 3 August 2021.

- Resolved:**
- (i) to endorse the budget to the Court for approval;
 - (ii) to note the programme of work scheduled with the People & Organisational Development Committee;
 - (iii) to note the challenging levels of income growth within the budget;
 - (iv) to note that officers would undertake an EIA on proposals as required;
 - (v) to reiterate the need to balance the sustainability of the University's mission and of its finances in concert;
 - (vi) to seek comment from the Director of Estates & Campus Services regarding the adequacy of capital spend within the budget;
 - (vii) to note that the Director of Finance would circulate to the Committee details of assumptions within the scenarios and clarification regarding the calculation of staff cost savings.

5. ESTATES & CAMPUS SERVICES REPORTS

The Committee considered the regular update from the Director of Estates & Campus Services, which on this occasion focused on planning for the 2021/22 academic year, and in particular the anticipated return to campus. The report also provided an overview of the 2021/22 Estates Strategy & Capital Plan. The Assistant Director provided an overview of specific current capital projects, with discussions focussing on works relating to the Tay Cities Deal.

With regard to the return to campus in semester one of the 2021/22 academic year, members noted that information had not been forthcoming regarding Scottish Government expectations for social distancing requirements and that this was crucial to planning processes.

Turning to future priorities, the Assistant Director provided an overview of discussions relating to the City Campus Energy Strategy and members noted both risks and incidents relating to the district heating system infrastructure as well as associated political drivers for carbon neutral solutions. In this respect members noted that the University was considering solutions in the context of its broader environmental and social ambitions.

- Resolved:** to note the report.

6. RESERVED BUSINESS: MANAGEMENT ACCOUNTS 2020/21 QUARTER 3 TO 30 APRIL 2021

The Committee considered the 2020/21 Quarter 3 Management accounts. Members noted that the full year forecast was for an operating surplus of £0.6m, £16m ahead of budget and an improvement of £4.2m on the deficit forecast at Period 8. Discussions focussed on the process for approving staff recruitment and its role in reducing costs through 'natural turnover'. The Committee commended the exceptional performance of the University with regard to the challenging COVID-adjusted budget despite the continued challenges faced in relation to the pandemic.

Resolved: to note the accounts.

7. RESERVED BUSINESS: 2021/22 STUDENT INTAKE UPDATES

The Committee received the regular update from the Director of Admissions & Student Recruitment. Members noted that the University was likely to meet its controlled and uncontrolled Home Student number targets. The Committee went on to explore challenges relating to the international recruitment market and were reassured to note that the University Executive Group was actively focussed on this risk.

Resolved: to note the report.

8. SFC FUNDING: INDICATIVE FUNDING ALLOCATION FOR 2021/22

The Committee considered a paper from the Director of Strategic Planning which outlined the implications of the confirmed Scottish Funding Council (SFC) grant letter and indicative allocations for 2021/22 and summarised the movement from 2020/21-2021/22. Members noted that adjustments/confirmation of allocations were due to be made available to universities in early June 2021.

While members welcomed the previously shared news that the SFC had removed the validation model which had disadvantaged the University relative to its competitors, the fact that this was not retrospective meant that the funding gap that had opened up over the years the model had been in place remained. The Committee encouraged the University and Court to continue to engage with the Scottish Government and SFC regarding the funding gap.

Resolved: to note the report.

9. NARRATIVE FOR COURT

The Committee agreed to highlight to the Court the Committee's extensive discussions relating to the budget and 5-year plan, the importance placed on balancing the sustainability of the University's academic mission with the delivery of financial sustainability (and not just achieving the latter), and further benchmarking data requested by the Committee.

Resolved: to ask that the Convener highlight these matters in his report to Court.

10. REVIEW OF FINANCIAL REGULATIONS (ANTI MONEY-LAUNDERING POLICY)

The Committee considered proposals from the Deputy Director of Finance to introduce an [Anti Money-laundering policy](#) to the existing suite of financial regulation related policies.

Resolved: to approve the Anti Money-laundering policy as set out.

11. REVIEW OF KEY PERFORMANCE MEASURES: UNIVERSITY STRATEGY TO 2022 (F&PC)

The Committee received the annual report of performance relative to composite Key Performance Measures (KPIs) assigned to the Committee for oversight. Members noted the efficiency of research functions at the University. Members sought further detail in relation to staff cost as a percentage of total costs and requested that a further paper be provided on this topic as part of the schedule of business for the 2021/22 academic year.

Resolved: to note the report and await further information in due course.

12. RESERVED BUSINESS: BUSINESS TRANSFORMATION MINUTES

[Secretary's note: The Committee considered the item as reserved business. The University asserts that the paper is exempt from public disclosure and claims exemptions in S.30(b), 30(c) and 33(1)(b) of the Freedom of Information (Scotland) Act 2002.]

The Committee noted that the minutes from meetings of the Business Transformation Steering Group on 26 February and 6 April 2021 had been made available to all members of the Court via the [Court One-Drive area](#).

Resolved: to note the minutes.

13. PENSION SUB-GROUP MINUTES

Resolved: to approve the minutes from the meeting of the Pension Sub-Group on 19 April 2021.

14. RESEARCH GRANT APPROVALS

The Committee noted the regular report of research grant awards since the last meeting. The trends comparison chart for research awards indicated that to date the value of awards in 2020/21 (44.6m) was slightly higher than at the same period in 2019/20 and had increased significantly since the last report where the award value was £24.6m. Members noted that the highest proportion of research grant submissions has been to UKRI Research Councils. The report drew attention to significant awards to the schools of Life Sciences and Medicine during that period.

Awards of note in the period included an Industry award of £8.2m to Professor Alessio Ciulli, a Bill & Melinda Gates award of £3.6m and a Global Health Initiative Technology Fund award of £697k to Professor Ian Gilbert, as well as BBSRC awards of £864k to Professor Gordon Simpson and £917k to Professor Angus Lamond.

Resolved: to note the report.

15. ENDOWMENTS SUB-COMMITTEE

The Convener provided a short overview of discussions at the meeting of the Endowments Sub-Committee a few days earlier, and in particular highlighted its discussion of public and social sustainability matters.

Resolved: to note the update.

16. THANKS

The Convener led the Committee in recognising the contributions of William Boyd, Bernadette Malone and Scott Quinn who would leave the Committee on 31 July 2021 when they reached the end of their terms of office on the Court.

17. DATE OF NEXT MEETING

Resolved: to note that the next meeting would take place on 3 August 2021.

Richard Bint

(Convener)

APPENDIX 6

GOVERNANCE & NOMINATIONS COMMITTEE MINUTES (Minute 88 (3))

A meeting of the Committee was held on 25 May 2021 by videoconference.

Present: Ronald Bowie (Convener);
Janice Aitken;
Principal, Professor Iain Gillespie;
Bernadette Malone;
Jane Marshall;
Ron Mobed; and
Professor Mairi Scott.

In Attendance: Professor Blair Grubb (Vice-Principal (Education));
Dr Neale Laker (Director of Academic & Corporate Governance);
Dr Jim McGeorge (University Secretary); and
Dr Christine Milburn (Senior Policy Officer (Corporate Governance)).

Apologies: Jia Hui (Gigi) Gan.

1. MINUTES

Resolved: to approve the minutes of the meeting of 23 March 2021.

2. MATTERS ARISING

(1) Action Log

The Committee received an action log summarising progress in relation to outstanding actions from previous meetings.

Resolved: to note the log.

(2) Update on Deputy Chair Appointment (Minute 6)

The Committee formally homologated the decision taken by email circulation on 19 April 2021 to recommend to the Court that Tricia Bey be appointed as the next Deputy Chair of Court. Members noted that the Court had subsequently approved this recommendation by email circulation on 23 April 2021.

Resolved: to formally homologate the decision.

3. CONVENER'S UPDATE

The Committee received a report from the Convener (also the Chair of Court) on his activities and interactions at a sectoral level which were of relevance to its remit. The report focussed on the business of recent meetings of the Committee of Scottish Chairs (CSC)/Committee of University Chairs (CUC), pension consultations, and the outputs of annual one-to-one meetings between the Chair/Deputy Chair of Court and Court members (see also minute 5 (below)).

The Deputy Chair of Court went on to provide an overview of a meeting of the CUC which she had attended on behalf of the Chair. The meeting had focussed on the responsibility of governing bodies for leadership in relation to policies and provision of support to address the issue of harassment/sexual violence in Higher Education. Members noted that the Director of Academic & Corporate Governance would provide an update to members on the University's response to this agenda under item 4 of the agenda (below).

Resolved: to note the update.

4. **SECTORAL UPDATE**

The Director of Academic & Corporate Governance highlighted a number of sectoral matters of potential interest to the Committee including the 1st reading in the House of Commons of the Freedom of Speech (Universities) Bill which intended to ‘place a duty on universities to promote freedom of speech, and to make provision for fining universities that do not comply with that duty’. Since higher education was a devolved matter, it was noted that the Bill, if enacted, would not apply to Scotland, but members noted that officers would continue to monitor the progress of the Bill as well as any potential impact on Scottish Government policy or indeed current University policy. The Committee learnt that to date the University had not experienced serious concerns around the exercise of freedom of speech, but the University was not complacent in this regard and recognised that the issue was complex.

The Director also provided an update on the internal consultation on the adoption of the International Holocaust Remembrance Alliance (IHRA) definition of antisemitism. Members noted that the Senate would consider proposals at its meeting on 26 May 2021, and that outputs of those discussions would subsequently be considered by the University Executive Group (UEG). The Committee noted the growing political interest in the matter and in concluding the item the Convener asked that the Court be kept informed of developments to ensure appropriate oversight.

With regard to both matters noted above, the Committee encouraged officers to ensure that the University engaged with, and was aligned to, sectoral position and developments.

The Director also updated the Committee on continued work in the area of Gender-Based Violence (GBV) prevention and support. Members noted that the University had been unsuccessful in its application to be a part of the pilot phase for the Emily Test GBV charter but was hoping to be able to engage with the process in advance of formal applications to the charter later in the year. The Committee indicated that it would be helpful to ensure that the Court remained sighted on the University’s approach and proposed that officers provide a written update to the Court later in the academic year. The Committee also praised the focus and leadership of the University’s Equally Safe Group in advancing practice.

Finally, the Committee noted that the CUC had established a working group to lead the review of the Scottish Code of Good HE Governance (2017) and that the outcomes of the review, including any refinements to the Code, were expected to be published in 2022. Members suggested that the University/Chair of Court encourage the working group to take a ‘light-touch’ approach to this second review of the Code.

Resolved: to note the updates and await further updates in due course.

5. **UPDATE ON ANNUAL MEETINGS BETWEEN CHAIR/DEPUTY CHAIR AND MEMBERS OF THE COURT**

The Chair and Deputy Chair of Court provided a verbal overview of their annual one-to-one meetings with members of the Court. The Chair highlighted themes emerging from discussions including: a notably greater engagement by members with development opportunities; members’ continued commitment to the University; the importance placed on achieving the transformation proposed in the academic excellence and sustainability programme; and the importance of ensuring proper consultation, challenge and debate when reaching decisions. With regard to the latter, the Committee noted that the People & Organisational Development Committee would review the principles of University of Dundee consultations at its next meeting to ensure consistent application of good practice. Members also noted that the role of oversight boards would be clarified with the Court to ensure that there was an appropriate understanding of the balance of challenge and support.

Resolved: to note the areas identified and welcome plans for the future review of the principles of University of Dundee consultations by the People & Organisational Development Committee.

6. **MEMBERSHIP OF THE COURT AND ITS COMMITTEES**

The Committee received a paper which set out membership and succession planning issues for the coming academic year. Members noted that the next election of the Chair of Court was due to be held in March 2022, that Richard Bint would reach his maximum term of office on 31 July 2022, and that three lay members of the

Court would reach the end of their first term of office at that date. The Chair of Court advised that one of these three, Lady Lynda Clark had indicated her intention to step down from membership of the Court over the summer due to changes in personal circumstances. The Committee asked that its thanks be noted for her contributions to the Court and the University during her membership and encouraged officers to begin the process of identifying her successor at their earliest possible convenience.

The Committee went on to discuss the proposed approach to lay Court recruitment and agreed that a search agency should be engaged to support both the lay Court and the Chair of Court recruitment processes. In the interests of value for money it was agreed that officers should align the timings of these recruitment processes.

The Committee discussed upcoming staff elections/nominations to the Court and noted that these processes were expected to conclude prior to the meeting of the Court on 15 June 2021.

The Committee was also reminded that no candidates had come forward in relation to the position of Independent Student Member on Court, and that in accordance with Ordinance 66, the Dundee University Students' Association (DUSA) had been asked to nominate a member from within its executive to serve in this capacity. Officers confirmed that the proposals for 2021/22 committee memberships would be updated once the outcomes of these processes were known.

Members were also advised that Professor Lynn Kilbride had resigned from the University effective from 1 September 2021 and that as such she would cease to be a member of the Court at that time. The Director of Academic & Corporate Governance informed members that in accordance with regulations for the election of Staff Council members of the Court an election to identify a successor for Professor Kilbride would be held early in Semester One of the 2021/22 academic year.

Turning to Committee memberships, members were supportive of the proposals submitted and confirmed that they were content that the suggestions appropriately balanced both the skills needs of the committees and provided the opportunity to refresh memberships through the rotation of members between committees. The Committee delegated authority to the Director of Academic & Corporate Governance to finalise membership proposals once the above noted election/nomination processes were completed, and otherwise endorsed the proposals to the Court.

The Committee also noted the need to consider succession planning for Richard Bint as the Convener of the Finance & Policy Committee and asked that the Chair of Court ascertain interest in this role from amongst the lay membership of the Court in the first instance.

- Resolved:**
- (i) to note the timelines presented;
 - (ii) approve the engagement of a search agency to support the process for the identification of one or more lay members to serve on the Court from 1 August 2022 as well as to support the identification of potential candidates for the 2022 Chair of Court election;
 - (iii) to delegate authority to the Director of Academic & Corporate Governance to finalise proposals for committee memberships for 2021/22 (**annex 1**); and
 - (iv) to ask the Chair of Court to ascertain interest in the role of Convener of the Finance & Policy Committee from amongst the lay membership of the Court.

7. **FORMAT FOR FUTURE MEETINGS**

Officers sought feedback from the Committee regarding preferences for the format of future meetings of the Court and its Committees. Members noted that COVID-19 regulations currently prohibited the University from holding meetings of the Court in person, but members were nevertheless keen format meetings of the Court returned to a face-to-face format when restrictions eased. Members were also keen that the Court Retreat in September 2021 be held as an 'in-person' event if possible and officers confirmed that they continued to investigate options.

Members noted both the challenge of delivering mixed-mode (mix of face-to-face and online attendance) meetings and that the University did not currently have a room with suitable IT to support this mode. Members however noted the benefits of online attendance and suggested that officers consider holding the majority of Committee meetings via online means, but with at least one meeting of each Committee per year held using an in-person format to provide opportunities for informal networking.

Resolved: to note that officers would consider options and provide proposals to the next meeting of the Committee on 3 August 2021.

8. ARRANGEMENT FOR ANNUAL REVIEW OF COURT/CHAIR OF COURT EFFECTIVENESS

The Committee endorsed the suggestion that the annual reviews of the effectiveness of the Court and the Chair of Court be held at the Court Retreat on 2/3 September 2021 and use a similar format to that used in the 2020 review, including the use of break-out groups to discuss themes emerging from the annual questionnaire.

Members noted proposals that the annual questionnaire be updated to include references to what lessons could be learned from working practices during the COVID-19 pandemic and members agreed to provide feedback on the questionnaire to the Senior Policy Officer (Corporate Governance) by email by 1 June 2021 and to otherwise delegate authority to her to finalise the questionnaire.

Resolved:

- (i) to endorse to the Court proposals that the reviews be undertaken during the 2021 Retreat as set out above; and
- (ii) to provide feedback on the questionnaire to the Senior Policy Officer (Corporate Governance) by email by 1 June 2021.

9. EARLY-STAGE COURT BUSINESS

The Committee considered and provided input into an early draft of the agenda for the meeting of the Court on 15 June 2021. Members noted the significant strategic items and otherwise endorsed the draft.

Resolved: to note the draft agenda.

10. ANNUAL REVIEW: REMUNERATION OF THE CHAIR OF COURT

The Committee considered a paper which set out the recommended payment to be made in respect of the time commitment associated with the duties of the Chairperson of Court. Members noted that the Chairperson had previously indicated that he did not wish to be remunerated, but had asked that an equivalent payment be made for the benefit of existing students, it being for the University to determine how precisely the money should be expended. The Committee noted the total payment for 2020/21 was estimated to be in the region of 48-54 days (£16,080 – £18,090) and delegated authority to the Director of Academic & Corporate Governance to reconcile the final payment as of 31 July 2021.

The Committee also agreed that the rate for remuneration of the Chair of Court for the next financial year should continue to match the Public Sector Pay Policy Technical Guide. Members noted that the guide set the Tier 1 Minimum for 2021/22 at £338 per diem.

Resolved:

- (i) to delegate authority to the Director of Academic & Corporate Governance for the final reconciliation and payment based on a report from the Chair of Court confirming the time required to carry out his duties;
- (ii) to invite the University to determine an appropriate internal fund which would maximise the benefits to students from this gesture; and
- (iii) to approve the rate of remuneration for the next financial year as set out above.

11. ANNUAL REVIEW OF SCHEDULE OF DELEGATION

The Committee noted that officers had undertaken the annual review of the Schedule of Delegation and Decision-Making Powers and advised that no changes were required at that time.

Resolved: to note the outcome of the annual review of the Schedule of Delegation & Decision-Making Powers.

12. NARRATIVE FROM THE COMMITTEE TO THE COURT

The Committee recommended that the Convener highlight to the Court increased political pressure in relation to the topic of freedom of speech in Universities; the expectation that recommendations resulting from the consultation on the adoption of the International Holocaust Remembrance Alliance (IHRA) definition of antisemitism would be shared with the Court in due course; the view of the Committee that the University's response to Gender-Based Violence was robust, well supported and well led, but that in light of a rise in demand during the pandemic the Committee had recommended that an update be provided to the Court; themes from one-to-one meetings between Court members and the Chair/Deputy Chair of Court; and the Committee's assurance of the robustness of the Quality & Academic Standards processes.

Resolved: to recommend that the Convener highlight these areas in his report to the Court.

13. ANNUAL REPORT FROM THE DIRECTOR OF QUALITY ASSURANCE

The Committee welcomed the report from the Director of Quality & Academic Standards and discussions focussed on the development of programme selection criteria and programme approval guidance. The Committee praised the work of the Quality & Academic Standards Team in maintaining standards during the period of the pandemic and noted the appointment of Professor Karen Petrie as Interim Director of Quality & Academic Standards while Erica Russell-Hensens was on maternity leave.

The Vice-Principal (Education) went on to outline future work planned in relation to curriculum design and the creation of guidance to support academic colleagues in curriculum design/ programme development.

Resolved: to note the report and recommend to the Court that it consider the quality assurance process to be robust when reviewing the annual report to the SFC on quality.

14. GIFTS AND HOSPITALITY POLICY: RETURNS FROM MEMBERS OF THE COURT

Resolved: to note that no declarations had been made by members in 2020/21.

15. DATE OF NEXT MEETING

Resolved: to note that the next meeting would be held on 3 August 2021.

Ronald Bowie

Convener

APPENDIX 5 ANNEX 1

COMMITTEE MEMBERSHIP

Name	Category	End of Current Term	Max End Date	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26	2026/27	2027/28	2028/29
Gillespie, Iain	Principal	<i>ex officio</i>	<i>ex officio</i>	F/G								
Borthwick, Ian	Lord Provost or nominee	<i>ex officio</i>	<i>ex officio</i>									
Sweeney, Sharon	Union Nomination	31/07/2021	31/07/2025*	F/R								
Aitken, Janice	Senate	31/07/2021	31/07/2022*	G								
Bainbridge, Alan	Co-option	31/07/2022	31/07/2026*	F								
Clark, Lynda	Co-option	31/07/2022	31/07/2026*	A								
Surti, Jay	Co-option	31/07/2022	31/07/2026*	P								
Leiper, Rebecca	Staff Council	31/07/2022	31/07/2026*	P								
TBC	Matriculate d Student	31/07/2022	31/07/2023		G/R							
Vidakis, Dimitris	DUSA President	31/07/2022	31/07/2023		F/E							
Bowie, Ronald	Election. Chair	31/07/2022	31/07/2022	F/G/R/PE/E								
Bint, Richard	Co-option	31/07/2022	31/07/2022	F/R/A/PE/E								
Martin, David	Senate	31/07/2023	31/07/2027*	P								
Kilbride, Lynn	Staff Council	31/07/2023	31/07/2027	P								
Dorward, David	Co-option	31/07/2023	31/07/2027	F/R								
Marshall, Jane	Graduates' Association	31/07/2023	31/07/2023	G/P/PE								
Scott, Mairi	Senate	31/07/2023	31/07/2023	F/G								
Winter, Keith	Rector's Assessor	¹	31/07/24 RA 31/07/2026	A/BT	²			³				
Thomson, Karen	Co-option	31/07/2024	31/07/2028	R/P								
Mobed, Ron	Co-option	31/07/2024	31/07/2028	G/R								
Bey, Tricia	Co-option	31/07/2025	31/07/2028	A/AES								
Subramanya, Karthik	Co-option	31/07/2025	31/07/2029									
Lothian, Andy	Co-option	31/07/2025	31/07/2029									
Reilly, Marianne	Union Nomination	31/07/2025	31/07/2029									

* Eligible for re-election/re-nomination. ¹ Subject to the Rector's Term of Office. RA – as Rector's Assessor ² subject to the election of/decision of the Rector. ³ eligible to remain on the Court but not as the Rector's Assessor (maximum of 6 years in that capacity).

Committee Memberships/in attendance of meetings of committees: A= Audit & Risk, F= Finance & Policy, G= Governance & Nominations, P= People & Organisational Development, R= Remuneration, W= Welfare & Ethical Use of Animals, PE = Pensions Sub-Group, E= Endowments Sub-Committee, BT = BT Steering Group, AES = AES Oversight Board

Suggested Committee Memberships 2021/22

Audit & Risk	Finance & Policy	Governance & Nominations	People & Organisational Development	Remuneration	BT	AES	WEUAC	Pension SG	Endowments
Keith Winter (c)	Richard Bint (c)	Ronnie Bowie (c)	Jane Marshall (c)	Karen Thomson (c)				Ronnie Bowie	Richard Bint
Tricia Bey	Ronnie Bowie	Principal	Jay Surti	Richard Bint	Keith Winter	Tricia Bey	Andy Lothian	Richard Bint	Ronnie Bowie
Andy Lothian	Principal	Jane Marshall	Marianne Reilly	Ronnie Bowie				Jane Marshall	DUSA President
	Alan Bainbridge	Lay Vacancy	Karthik Subramanya	Ron Mobed					
	David Dorward	ISMC	Staff Council member (TBC)	ISMC (TBC)				F&PC Convener designate	F&PC Convener designate
	DUSA President	Janice Aitken (or successor)	David Martin	Sharon Sweeney					
	Rebecca Leiper	Tricia Bey (Deputy Chair)							
	Mairi Scott	Sharon Sweeney	Student Member (tbc)						
	Ron Mobed								
Also in Attendance									
Colin Clunie (external member)									
Convener F&PC	Deputy Chair		Convener Remco	Convener PODCo					
	Convener A&RC			Principal					

ISMC = Independent Student Member on Court

APPENDIX 7

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE MINUTES
(Minute 88 (4))

A meeting of the Committee was held on 19 May 2021.

Present: Jane Marshall (Convener);
Dr William Boyd;
Professor Lynn Kilbride;
Rebecca Leiper;
Bernadette Malone (item 6(2) onwards);
Dr David Martin;
Marianne Reilly;
Jay Surti; and
Karen Thomson.

In Attendance: Professor Hari Hundal University of Dundee Race Equality Charter Lead (item 6(2));
Dr Jim McGeorge University Secretary & Chief Operating Officer;
Pamela Milne Director of Human Resources & Organisational Development;
Dr Christine Milburn Senior Policy Officer (Corporate Governance);
Olaf Postola Corporate Governance Support Officer; and
Julie Strachan Deputy Director of Human Resources & Organisational Development.

Apologies: Professor Julian Blow; and
Jia Hui (Gigi) Gan.

1. MINUTES

- (i) Minutes from the meeting on 15 March 2021.

Resolved: to approve the minutes from the meeting.

2. MATTERS ARISING

- (1) Action Log

The Committee reviewed the action log. The Director of HR&OD informed members that there had been a delay in finalising the procedural agreement due to ongoing discussions between management officials from the Universities & College Union (UCU). The Committee noted that the existing agreements remained in place until such time as these discussions were concluded and any revised agreement approved.

Resolved: to approve the action log as presented.

3. CONVENER'S UPDATE

The Convener provided her regular verbal report which included an update on the pension consultation and in particular her input to the Pensions Sub-Group. She also mentioned her continued work in support of the effectiveness of the Committee and members noted her intention to consult members over the summer to further inform the process.

Resolved: to note the update.

4. STRATEGIC OVERVIEW & SECTORAL UPDATE

The Director of Human Resources & Organisational Development introduced her report and in doing so, highlighted a number of matters of relevance to the remit of the Committee including senior appointments, on-going matters relating to the University's response to COVID-19, national pay negotiations, Universities Superannuation Scheme (USS), University of Dundee Superannuation Scheme (UoDSS) and the Academic Excellence & Sustainability Programme.

With regard to the national pay negotiations, the Committee noted that at the time of the meeting, unions were consulting their members in relation to the employers' offer of 1.5%, but that there remained a significant risk of rejection of the offer and ballots for industrial action.

Turning to pension matters, the Director updated the Committee on the University's approach to engagement with staff regarding the USS proposals, and members noted that a joint University and DUCU statement had been prepared in response to the University UK (UUK) consultation.

The Director informed the Committee that, in response to a request from the campus unions, the University Executive Group (UEG) had approved an extension of 6 months to the consultation period for proposed benefit changes in the UoDSS. Members noted that Unison had obtained a mandate to strike regarding the University's proposals.

With regard to the University's response to COVID-19, the Committee noted that a working group had been convened to develop principles around the staff 'return to campus' and future working arrangements. Members welcomed the consultative approach set out. In response to questions the Director of HR&OD confirmed that as part of this work the University was reviewing the contractual requirement that staff live within 25 miles of the campus from a Human Resources, finance/tax, and environmental impact perspective, but that it had taken a flexible approach where possible during the COVID-19 pandemic.

Members discussed the role of the Committee in relation to the Academic Excellence & Sustainability Programme and noted in particular that discussions relating to the review of the Objective Setting and Review (OSaR) process and of academic recruitment processes were anticipated in the near future and would be reported in due course.

In response to questions regarding the financial impact of the three new Assistant Vice-Principal roles, members noted that the roles would be internal appointments, part-time and fixed term, and that an honorarium would be paid but that there would be no other financial implications beyond the cost-effective replacement of teaching capacity where necessary.

Resolved: to note the report.

5. COMMITTEE BUSINESS

(1) University Staff Survey

The Deputy Director of Human Resources & Organisational Development (HR&OD) introduced her reminder of the University's 2019 staff survey results and summary of priority areas identified by schools and directorates to be taken forward as part of their respective action plans. Members noted that the results had been presented to the Committee in February 2020, but that further work in this area had been delayed due to the COVID-19 pandemic. The Committee was informed that the current provider of the staff survey, Capita, was no longer providing the service, and that the Director of HR & OD would review and present options for the future approach in due course.

A number of themes were highlighted, for example, in professional services there was an overarching theme relating to communication, career progression and flexible working, while amongst schools key themes included workload, health and wellbeing, equality matters and communication.

In response to questions regarding the level of detail provided to the Committee, the Deputy Director clarified that school and directorate reports included comparative data and a trend analysis to facilitate comparisons in key areas.

Finally, the Committee discussed the timing and relevance of the survey results given the period of time since it was conducted, and significant changes brought about by the COVID-19 pandemic. In this regard the Deputy Director provided the Committee with assurance that the data had been actively used by Schools and Directorates in the interim period. The Convener reiterated the importance of the data in understanding staff opinions and informing decision-making.

Resolved: to note the update.

(2) Business Transformation update

The Committee noted that overall good progress had been made since the last report. Members noted that recent challenges had caused a likely delay in implementation of around one month.

In response to question, the Director of Human Resources & Organisational Development (HR&OD) also provided an overview of the level of financial and staffing support available to the project. The Director undertook to keep the Committee apprised of any future issues in this respect.

Resolved: to note the update.

(3) Scottish Funding Council – Assessment of Procedures Relating to Sexual Misconduct Complaints.

The Director of Human Resources & Organisational Development provided an update on the University's assessment of procedures relating to sexual misconduct cases, as first discussed by the Committee on 15 March 2021. Members noted that a working group had been established to lead the self-assessment and had concluded that appropriate policies and procedures were in place.

The Committee discussed the University's protocol for providing references, and the Director undertook to circulate the current guidance on reference writing for information.

Resolved: (i) Director of HR&OD to circulate the guidance on reference writing to the Committee; and

(ii) to note the update.

(4) University Strategy to 2022: Performance Measures

The Committee considered the annual review of the Key Performance Indicators (KPIs) assigned to the Committee. In response to questions regarding gaps in the report the University Secretary undertook to check the availability of additional data with the Director of Strategic Planning. The Committee discussed the number of indicators and noted that a smaller number of indicators was planned in relation to the next University Strategy.

Resolved: to note the update.

6. EQUALITY, DIVERSITY AND INCLUSION

(1) Equality, Diversity & Inclusion Committee Minutes

The Committee noted the Equality, Diversity & Inclusion Committee minutes from the meeting on the 29 April 2021.

Resolved: to note the minutes.

(2) Report from the Race Equality Charter

The University of Dundee Race Equality Charter Lead (REC Lead), Professor Hari Hundal, provided an overview of the REC process and of key findings from the recent Race Equality survey. The Committee noted the substantial work undertaken to date and the timeline for the final Race Equality Charter (REC) submission.

In introducing the item Professor Hundal set out the four workstreams contributing to the University's submission as follows: institutional local context, staff issues, student issues, curriculum, learning & teaching, and highlighted the importance of the REC in identifying and removing race-related barriers affecting members of the University community. This view was strongly supported by the Committee.

The Committee discussed the report in considerable detail, and in doing-so focussed its discussions on a number of key findings from the survey relating to areas including: perceptions of racism, prevalence and reporting of incidents, zero tolerance, divergence of experience, representation, recruitment/selection, progression/reward/development, expression of cultural identity, curriculum design, role models, DUSA engagement and the structural and social inequalities that disproportionately impact BAME communities. The Committee noted specific challenges identified by staff and students and the significant differences in perceptions when comparing responses from white staff with those from the BAME community. Members were keen to learn from the data and noted that the executive was working with the REC Group to identify clear actions to address the issues highlighted.

The Committee noted that the report referenced staff and student experiences both on campus and within the local region, and in response to questions the University Secretary reassured members that the University was closely engaged with the City Council on a regular basis in relation to the findings of the report and wider issues around race relations in the city.

Overall, the Committee was extremely concerned at the seriousness of the findings highlighted in the report and members echoed the commitment of the Court to taking a zero tolerance approach toward any form of racism, and its support for the University Executive Groups' (UEG) focus on the development of an action plan to address the matters identified. Members also discussed opportunities for positive action and discussed ways in which the benefits of diversity and inclusion could be communicated and encouraged at the University and in the local community.

Members noted that many of the concerns raised within the report were reflective of wider society as well as across the HE sector, and therefore not strictly local to Dundee and encouraged the University to continue to work to advance the agenda at a national level.

In concluding the discussion, the Committee emphasised the importance of the work ongoing on this matter as evidenced by the UEG making Equality, Diversity and Inclusion a strategic priority. The Committee thanked those who came forward and took part in the REC surveys and focus groups for sharing their lived experiences and initiating this important dialogue.

Resolved: to note the update.

7. COURT NARRATIVE

It was agreed that the Convener's report to Court on 15 June 2021 would include reference to the following: the Committee's endorsement of the probationary procedure, subject to amendment (see below); the Committee's extensive discussion of matters relating to the Race Equality Charter; ongoing national pay negotiations; and the extension of the consultation period for UoDSS.

8. UNION MATTERS

(1) Local Joint Committee Minutes

The Committee noted the minutes from the meeting of the Local Joint Committee on the 16 February 2021.

Resolved: to note the minutes.

(2) Personal Relationship Policy

The Deputy Director of Human Resources & Organisational Development (HR&OD) provided an overview of the draft Personal Relationship Policy. Members noted that the Policy complemented existing safeguarding

policies, and specifically focused on the provision of advice on what the University could do if staff or students were in abusive relationships.

The Committee supported the aims of the Policy but raised a number of suggestions for the clarification of the language and structure of the document and also suggested the inclusion of links to other safeguarding policies. The Deputy Director resolved to discuss the suggestions with the working group and to submit a revised version to the next meeting.

Resolved: to note that the revised policy would be brought back to the Committee on 28 October 2021.

(3) Probationary Procedure for Professional Services and Research Staff

The Deputy Director of HR&OD provided an overview of the Probationary Procedure for Professional Services and Research Staff. Members noted that the aim of the procedure was to provide a consistent approach to probation and outline available support for staff in this group. The Committee endorsed the procedure to the Court for approval subject to minor amendment.

Resolved: to endorse the procedures to the Court subject to amendment (**annex**).

9. **HEALTH AND SAFETY**

(1) Health and Safety Sub-Committee minutes

The Committee noted the minutes from the meeting of the Health and Safety Sub-Committee on 26 April 2021.

Resolved: to note the minutes.

10. **DATE OF NEXT MEETING**

Resolved: Thursday 28 October 2021

Jane Marshall
Convener

APPENDIX 7 ANNEX 1

PROBATION PROCEDURE FOR NON-ACADEMIC STAFF

1 Overview

The University's probation procedure for non-academic staff is designed to ensure that new members of Academic Related, Research, Technical, Clerical and Manual staff are supported during the first months of employment at the University and are afforded opportunities relevant to their post, enabling them to make the transition to becoming an established and fully effective member of a high performance community.

Members of staff play an important part in shaping our world and making our University distinct and we value all contributions and will enable our staff to flourish by supporting the development of skills and knowledge during employment.

2 Policy Statement

- 2.1 This procedure applies to all non-academic staff groups including Academic Related, Research, Technical, Clerical and Manual.
- 2.2 The length of the probation period is determined by the grade of the post and is set out in the contract and terms and conditions of employment. The probationer's progress and performance will be reviewed on a regular basis through informal discussions and formal review meetings. Formal review meetings will take place at set intervals and informal discussions will supplement these throughout the period of probation.
- | | |
|--------------|----------------------------------------------------------------|
| Grade 1 – 6 | 6 months' probation with a 3 month formal interim review |
| Grade 7 – 10 | 12 months' probation with 3 and 8 month formal interim reviews |
- 2.3 The University will continue to offer support and guidance to new employees whilst ensuring that they have a clear understanding of how their role fits into the University strategy and vision.
- 2.4 Performance, conduct, timekeeping and training needs will be assessed consistently and objectively across all staff groups in accordance with the requirements of the role, which is in turn informed by the job description and person specification.
- 2.5 Responsibilities
- 2.5.1 Managers Responsibilities
- Managers have a responsibility to implement the policy and to make every effort to ensure that all members of staff are supported throughout their probationary period. This must also include any support in the form of reasonable adjustments, for anyone with a disability as defined in the Equality Act 2010. They must ensure that the necessary training is available to enable them to perform the role to the best of their ability and that any difficulties are managed in an appropriate manner in accordance with the policy.
- 2.5.2 Probationers Responsibilities
- Probationers have a responsibility to carry out their role in accordance with the Job Description and with the guidance of the Line Manager. They should ensure that they raise any concerns regarding their ability to carry out their duties with their Line Manager or other support such as HR, EDI or other University support service, at the earliest possible opportunity.

3 Further Information

3.1 Induction

Line managers will take responsibility for devising an appropriate local induction programme for all newly appointed members of staff in their area <https://www.dundee.ac.uk/hr/policiesprocedures/>

and in addition, new employees will be invited to attend the University welcome event in the weeks following the start of their employment. <https://www.dundee.ac.uk/hr/policiesprocedures/newemployees/induction/>
The local induction programme should include:

- Familiarisation with the new role, including general and key elements
- Introduction to team members and key contacts internal and external to the department
- Information on how the new role fits within the department structure
- Information on how the departments fits within the University structure
- Requirement to complete the University online mandatory training modules
<https://www.dundee.ac.uk/equality-diversity/what-we-do/online-training/>
- Overview of the University vision and values and expected behaviours
<https://www.dundee.ac.uk/strategy/>
- Information on the support available for Research staff
<https://www.dundee.ac.uk/research/governance-policy/concordattosupportresearchintegrity/>
The line manager should also discuss and agree the performance standards expected of the probationer and highlight the support and guidance that is available throughout the probationary period and beyond.

3.2 Objective Setting

Normally within 2 weeks from the start date of employment the line manager will arrange a meeting to discuss and agree appropriate SMART objectives for the probationary period.

The line manager and probationer will also identify any work-related training and development requirements based on the individual's needs. Objectives must be relevant to the role and recorded on the Probation form for professional services & research staff (annex 1)

3.3 Reviewing Progress

Progress is reviewed through general day to day interaction, and regular informal/formal review meetings provide an opportunity for the line manager and the probationer to set aside some dedicated time whereby achievements can be highlighted, and any difficulties or concerns addressed at the earliest opportunity. HR will be available to provide advice and/or guidance at any stage of the process.

3.3.1 Informal Review Meetings

The line manager will meet with the probationer informally at regular intervals throughout the probationary period to provide support and feedback with the aim of ensuring the probationer is supported and equipped to undertake their role as detailed in the job description.

3.3.2 Formal Interim Review Meetings

Structured formal interim review meetings will take place at defined intervals as noted below. These meetings should be documented using the standard template (appendix 1), and progress assessed against agreed objectives.

Staff Category	Probation period	Formal interim review		End of probation review
Grade 1 – 6	6 months	End of 3 months	-	End of 5 months
Grade 7 – 10	12 months	End of 3 months	End of 8 months	End of 11 months

3.4 Outcomes

3.4.1 Satisfactory Progress

When progress during the probationary period is satisfactory, HR will notify the line manager by email that the probation period is due to end up to 6 weeks before the designated end date.

The line manager will complete (appendix 1) and return it to HR no later than 2 weeks before the end of the probationary period. The report should highlight satisfactory performance, specific

achievements, and confirmation that the probationer has completed the mandatory role specific and University training as required.

HR will notify the probationer in writing that they have satisfactorily completed probation and they will transfer into the standard OSAR cycle.

3.4.2 Unsatisfactory Progress

All concerns about shortfalls in performance/behaviour/conduct should be highlighted informally at the earliest opportunity so that probationer can be given the appropriate support to enable them to make the necessary improvements.

Unsatisfactory progress can be addressed at any stage during the probation period and whilst the emphasis is on supporting the probationer as much as possible where that does not prove successful, the line manager should follow the guidance below (steps 1 – 4) to address the issues formally

The time taken to progress through steps 1 to 4 will vary in accordance with the circumstances, but in all cases, employees will be given sufficient time and opportunity to respond to concerns, complete objectives and undergo training as relevant to demonstrate satisfactory performance/conduct/behaviour. Employees would be expected to address concerns regarding conduct or behaviour swiftly, however more time may be necessary to allow employees to demonstrate improved/satisfactory performance.

Step 1

- The line manager will, along with the HR Officer arrange a formal meeting with the probationer to discuss the issues as soon as possible and the probationer may be accompanied by a work colleague or trade union representative.
- At the meeting the line manager will fully explain, with examples, the areas of concern, e.g. performance/behaviour/conduct.
- The probationer will be given the opportunity to respond to the concerns and any response or mitigating circumstances will be considered prior to further action being taken.
- Where it is clear in the meeting that there is indeed cause for concern, interim, clear objectives should be agreed and recorded (Appendix 2 Action Plan for Improving Performance). Appropriate timescales (normally maximum of 4 weeks) should be identified in which the probationer is given the opportunity to show improvements. If the probationer is absent due to illness during this process, timescales will be adjusted, considering occupational health advice if appropriate to ensure fair treatment.
- Where the circumstances identified are related to a disability and the need for a reasonable adjustment to be implemented, adjustments should be arranged as quickly as possible, and timescales set to allow the individual to adapt to them.
- A follow up letter will be sent to the probationer confirming the action that has been recommended, highlighting the consequences of continued unsatisfactory performance/behaviour/conduct.
- Arrangements will be made to provide any relevant additional training during this time.
- Regular meetings will be arranged between the line manager and probationer over the 4-week period to review progress against set objectives.

Step 2

- Where the above support and guidance has resulted in satisfactory improvement either the probation period will continue to the original end date or if already at the end of the probation period, the employment will be confirmed.
- HR will notify the probationer in writing that they have satisfactorily completed probation and they will transfer into the standard OSAR cycle

Step 3

- Where the probationer has not shown satisfactory improvement following Step 1 the line

manager will consider whether the probation period should be extended or whether a recommendation be made to terminate the employment.

- Where the probation period is to be extended it should normally be for no longer than 3 months.
- When extending the probationary period, it should be clear to the probationer what the ongoing issues are, why the probation period is being extended, what support is being offered and the possible courses of action if no improvement is evident during that time.
- Where a recommendation is being made for termination of employment the line manager will meet with the probationer, along with their representative if appropriate and inform them of the reasons for this and that a hearing will be convened.

Step 4

- When all the above steps have been exhausted, and in every case where termination of employment is being considered, the line manager must discuss the case with the Head of School/Director or delegate, outlining the issues/concerns
- The line manager must have documentary evidence to support the recommendation including notes of review meetings and any additional interim meetings, evidence of training and support given and any other evidence as appropriate.
- HR will write to the probationer inviting them to attend a Probationary Review Hearing.
- HR will arrange the Probationary Review Hearing in line with University Procedures.
 - The panel will consist of
 - Head of Department
 - Senior member of staff from another School/Department
 - Senior member of HR who has not be involved to date
 - The Probationer has the right to be accompanied by a colleague or trade union representative and
- The onus is on the panel to show that unsatisfactory progress related to performance, behaviour and/or conduct is the actual basis for any decision to dismiss. The panel must have reasonable grounds for that belief and have taken steps to inform the conclusions.

4 Document Information

4.1 Equality Impact Assessment

Please provide summary of Equality Relevance as identified through EIA along with a link to the document.

4.2. Approvals & Renewals

Document Name	Probation Procedure and Guidelines for Non- Academic Staff
Status	If going to Committee: Pending Approval. Once approved change to Approved.
Responsible officer/department/school	e.g. Human Resources
Policy owner	e.g. People & Organisational Development Committee
Date last approved	
Due for review	Yes/No
Authorised and approved for publication	
Date authorised for publication	Public (most are public)
Information classification: public/internal	POD (the folder on Sharepoint)

Location in repository

Approval route and history

Code

People & Organisational Development Committee + date

(Court etc.)

e.g POD_161031_STWO_v001

UNIVERSITY OF DUNDEE
PROBATION FORM FOR NON-ACADEMIC STAFF

Name: _____ **School/Department:** _____

Line Manager: _____

Date of Appointment: _____ **Probationary End Date:** _____

Guidance

- This form should be used for probationary staff in conjunction with the probationary procedures and guidelines for non-academic staff (Academic Related, Research, Technical, Clerical and Manual).
- This process is designed to support the probationary member of staff throughout their introduction to the University.
- Objectives should be agreed and detailed on the form within 2 weeks of the start of employment.
- Ensure that any specific individual requirements, including reasonable adjustments relating to disabilities, are discussed and considered as part of the discussion.

Agreed Objectives for the Probationary Period:

Mandatory Items within 3 months of start date	Completed
University's Equality and Diversity on-line modules	
Health and Safety responsibilities	
Specific system training	
Cyber essentials	
Research Integrity Training https://www.dundee.ac.uk/research/governance-policy/researchintegritytraining/	

Objectives	Target Date	Completed (yes/no)

Review Periods

Grades 1 to 6 - 6 months (with a 3 month interim review)

Grades 7 to 10 - 12 months (with a 3 and 8 month interim reviews)

3-month Interim Review

Line Manager signature..... Date.....

Probationer signature..... Date.....

8-month Interim Review

Line Manger signature.....Date.....

Probationer signature..... Date.....

End of Probation Review

Has the probationer met the original objectives satisfactorily? YES/NO

(please provide supporting information detailing successes or areas of concern)

Should the appointment be confirmed? YES/NO

(if no, please provide supporting information and evidence)

Summary and Comments

Reviewer's overall summary:

Probationer's overall summary:

Line Manager's Signature:

Date:

Probationer's Signature:

Date:

Please note, Probation cannot be confirmed until this form has been returned to HR

Training and Development

- **Please detail the training and development requirements as discussed at the probation meeting (requires to be approved by the Dean/Director or budget-holder, fed back to the Probationer by the Line Manager)**

Please note that any Training and Development requirements should be forwarded directly to OPD for further discussion

APPENDIX 8

REMUNERATION COMMITTEE MINUTES (Minute 88 (5))

A meeting of the Committee was held on 20 May 2021 via TEAMS online meeting.

Present: Bernadette Malone (Convener);
Richard Bint;
Ronald Bowie;
David Dorward;
Jia Hui (Gigi) Gan;
Jane Marshall;
Ron Mobed; and
Sharon Sweeney.

In Attendance: Professor Iain Gillespie, Principal & Vice-Chancellor (by invitation of the Convener);
Dr Jim McGeorge (University Secretary) (by invitation of the Convener);
Pam Milne (Director of HR and Organisational Development) (by invitation of the Convener, with the exception of item 6)); and
Dr Christine Milburn (Policy Officer (Corporate Governance)).

1. MINUTES

Resolved: to approve the minutes of the meeting of the Committee on 12 February.

2. MATTERS ARISING

(1) Action Log

Members received the action log for the last meeting of the Committee and noted the updates provided. The Convener drew attention to the review of the Consultancy Policy, which was due to be presented to the Committee in autumn 2021.

In response to questions the Director of Human Resources & Organisational Development clarified arrangements relating to the annual academic promotions and Grade 10 Academic Staff Remuneration Rounds. Members were pleased to note that meetings were taking place with deans to ensure a standard and fair approach, and the Committee reaffirmed its interest in the equality, diversity and inclusion related data made available as part of the annual review process.

Resolved: to note the updates.

3. CONVENER'S UPDATE

The Convener outlined her discussions with the Chief Executive of NES (NHS Education for Scotland) and the Dean of the School of Medicine regarding the annual review/appraisal process for clinical staff. Members were pleased to note that both were content with current appraisal arrangements and that the University Executive Group (UEG) was well sighted on upcoming demographic related challenges within this group of staff. Members also noted the Convener's attendance at a recent meeting of the Local Joint Committee (LJC) to present the annual report from the Committee and consult on remuneration matters.

Resolved: to note the update.

4. **RESERVED BUSINESS: REPORT FROM THE DIRECTOR OF HUMAN RESOURCES & ORGANISATIONAL DEVELOPMENT**

The Director of Human Resources introduced her regular report to the Committee on matters pertinent to its remit and terms of reference including: senior appointments, National Pay Negotiations (2021/22), the Universities Superannuation Scheme (USS) pension consultation and a summary of non-remunerated appointments approved by the Principal for members of the University Executive Group (UEG) since the last meeting. Discussions focussed on the outcome of a UNISON ballot for industrial action in relation to the National Pay Negotiations and its potential impact on University operations.

In response to a question, the Director provided members with an overview of the reasoning behind the creation of three Assistant Vice-Principal roles. Members noted that the roles would be part-time and fixed term, and that an honorarium would be paid but that there would be no other financial implications beyond the cost-effective replacement of teaching capacity where necessary.

- Resolved:**
- (i) to note the following appointments for members of the UEG:
 - Wendy Alexander, Vice-Principal (International): Member of UK Government's DIT/DfE Education Sector Advisory Group; Member of Advisory Board, UK National Committee on China; and Chair, Times Higher Education, Student Advisory Board
 - Pamela Milne, Director of HR & Organisational Development: Government Department for Business, Energy & Industrial Strategy, member of Steering Group for People & Culture Strategy for Research & Development
 - Jim McGeorge, University Secretary & Chief Operating Officer Re-election as Convener of the Universities Scotland Secretaries Group
 - (ii) otherwise, to thank the Director for the Report.

5. **REVIEW OF THE CUC HE SENIOR STAFF REMUNERATION CODE**

The Committee considered a paper which set out key findings from a review of University practice relative to the issues raised in an AdvanceHE review of the CUC Senior Staff Remuneration Code published in February 2021. Members noted that the Governance & Nominations Committee had also reviewed the document and had recommended that, subject to the concurrence of the Remuneration Committee, the Court be advised that the University was compliant.

Members welcomed the identification of areas where officers felt that there were opportunities to further enhance provision, but agreed that the University already exceeded standard expectations in this respect.

- Resolved:** to note the review and provide assurance to the Court that the University was compliant with the issues identified in the review, and that areas for further enhancement would be taken forward by officers within the normal cycle.

6. **RESERVED BUSINESS: LIFETIME PENSION TAX ALLOWANCE**

[Secretary's note: Officers declared a potential conflict of interest in the item as members of the USS Pension Scheme and the Director of HR&OD left the room for the duration of the item.]

The Committee received a paper from the Principal and the University Secretary which invited members to review the current University position in relation to staff reaching their Lifetime Pension Tax Allowance (LTA). The review was sought in the context of a formal request from a member of UEG that the University consider compensating them through making payments in lieu of the employer's contributions to USS if they chose to opt out of the scheme for LTA reasons.

The Convener reminded members that in previous discussions the Committee had established the position that the University would not make payments in lieu of employer's contributions, but that it had recommended that this position be reviewed on a regular basis to ensure that the University remained competitive with the rest of the sector.

Members noted that, while recent government decisions in relation to the LTA threshold meant that the University would likely see an increase in the number of senior staff who exceeded the allowance over the course of their career, the Principal's view was that the LTA did not currently represent a significant risk to staff recruitment/retention at the University.

Following discussion of the core principle of fairness to all staff, and the pension benefit change consultations which were taking place at the time of the meeting, the Committee reaffirmed its commitment to the current policy position. The Committee was, however, concerned that any individuals leaving the pension-scheme for LTA reasons might also lose their access to benefits such as death in service or long-term sickness and asked officers to investigate if this aspect of the remuneration package could be maintained and report back.

The Committee suggested that it consider, on an annual basis, whether the LTA position required review - with an annual report being provided to the December meeting of the Committee each year detailing the number of individuals opting out of USS in the preceding 12-month period for LTA reasons. Members further suggested that the Principal be invited to advise the Committee in that report if there were concerns that the position on LTA was adversely impacting on staff recruitment/retention at a University level. Ultimately the Committee agreed that in the event a review was recommended, independent guidance and information on practice elsewhere in the sector would likely be required.

The Committee went on to consider the specific request received from the member of UEG, noting that under the Schedule of Delegation and Decision-Making Powers, it was the authorized body for the consideration of such matters. Noting the potential retention issue highlighted by the Principal, the Committee nevertheless reaffirmed its policy position as set out above and rejected the request.

- Resolved:**
- (i) to reaffirm the position that the University's policy is not to provide compensation to individuals opting out of the USS pension scheme for LTA reasons;
 - (ii) on that basis to reject the request received from a member of UEG;
 - (iii) to ask that data on the number of staff leaving the USS for reasons associated with the LTA be provided annually to the December meeting of the Committee, along with a recommendation from the Principal in relation to any impact of the policy on the recruitment and retention of key staff;
 - (iv) to note that officers would report back on options in relation to the maintenance of 'death in service and long-term sickness benefits for staff leaving the USS Scheme for the reason of breaching the LTA.

7. KEY PERFORMANCE INDICATORS

The Committee received a summary from the Director of Strategic Planning which set out the status of composite KPIs previously approved by the Court. While none of the measures had been assigned to the Remuneration Committee for monitoring, the Committee was invited to review the performance measure data within the dashboard and highlight to the Director any areas which they felt should be discussed within the Annual Report to the Court.

- Resolved:** to provide feedback to the Director of Strategic Planning if appropriate.

8. OBJECTIVES FOR THE PRINCIPAL 2021

The Chair of Court confirmed that objectives had been agreed with the Principal and that these would be shared with the Court and the Committee shortly. Members noted that progress relative to these objectives was one element of the new performance management arrangements for the Principal during his probationary year.

Resolved: to note that the objectives had been agreed and would be shared shortly.

9. NARRATIVE FOR THE COURT

The Committee agreed that the Convener should highlight the decision regarding the University's position on Lifetime Pensions Tax Allowance and discussions relating to the Principal's objectives.

10. THANKS

Noting that the meeting was the last scheduled for the Committee prior to the departure of the Convener from the Court, the Chair of Court, members of the Committee, officers and the Principal paid tribute to her hard work, leadership and contributions to ensuring good practice and good governance in relation to the work of the Committee.

11. DATE OF NEXT MEETING

To note that the annual continuing professional development session was scheduled to take place on 7 December 2021.

Bernadette Malone
Convener